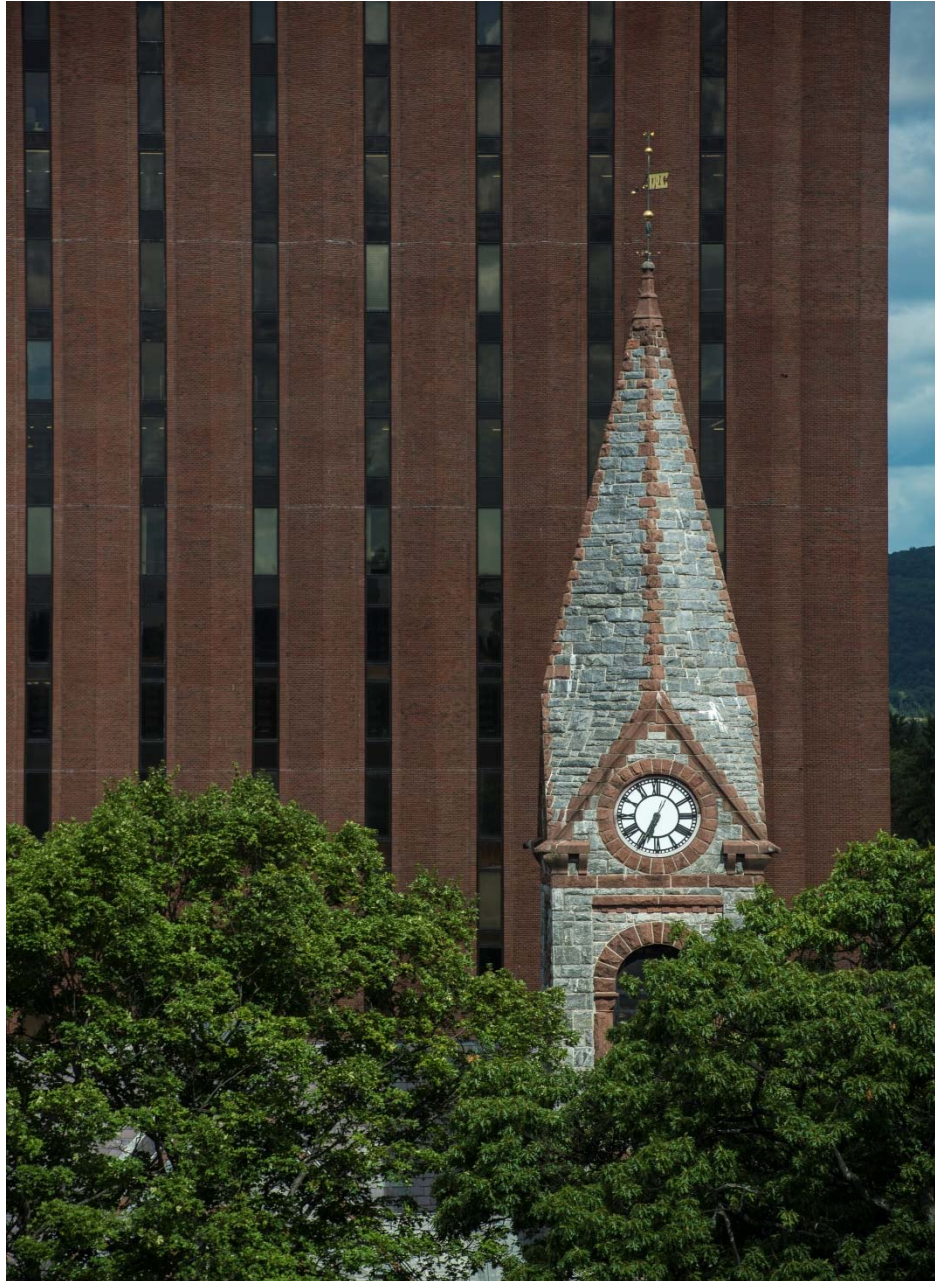


SPONSORED ACTIVITIES

ANNUAL REPORT FISCAL YEAR 2016



VICE CHANCELLOR FOR RESEARCH & ENGAGEMENT

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

Staff Directory

Vice Chancellor for Research and Engagement

Michael F. Malone, Vice Chancellor for Research and Engagement

Office of Grant and Contract Administration

DIRECTORS

Carol Sprague, Director - (545-0698)
Theresa Girardi, Assistant Director - (545-0698)
Nancy Stewart, Assistant Director - (545-0698)
James Ayres, Assistant Director - (577-1594)
Kathy Griffin, Office Manager - (577-1590)
Joe Gochinski, Receptionist - (545-0698)
Leslie Burke, Reprographics - (545-5889)

PROPOSAL PROCESSING

GRANT & CONTRACT ADMINISTRATORS

James Ayres, Assistant Director - (577-1594)
Mary Bryskiewicz - (545-9878)
Marcia Day - (545-0674)
Kimberly Lowney - (545-0674)
Renee Simon – (545-5873)
Gwen Swan - (545-5898)

CLERICAL STAFF/ PROPOSAL STATUS

Jody Powell - (545-0296)
Andy Steinberg - (545-0674)
FAX: (413) 545-1202

AWARD PROCESSING

GRANT & CONTRACT ADMINISTRATORS

Nancy Stewart, Assistant Director - (545-0759)
Theresa Girardi, Assistant Director - (545-0759)
Andrew Cote - (577-1592)
John Fillio - (545-0698)
Susan Girouard - (545-0698)
Sara Powers - (545-0698)

CLERICAL STAFF/ AWARD STATUS

Christa Danylieko - (545-5888)
Donna Hamel - (545-0759)
FAX: (413) 545-1202

COMPUTER NETWORK STAFF

Leanne Every, Director Systems Division - (545-5892)
Paul Kelley, SmartGrant Site Director – (545-3837)
Wayne Gelineau, Database Manager - (545-5897)

**Research Administration Building, 70 Butterfield Terrace
University of Massachusetts Amherst, MA 01003-9242 (413) 545-0698**

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Proposal Trends

Figure 1: New Proposal Dollars FY 2012-2016

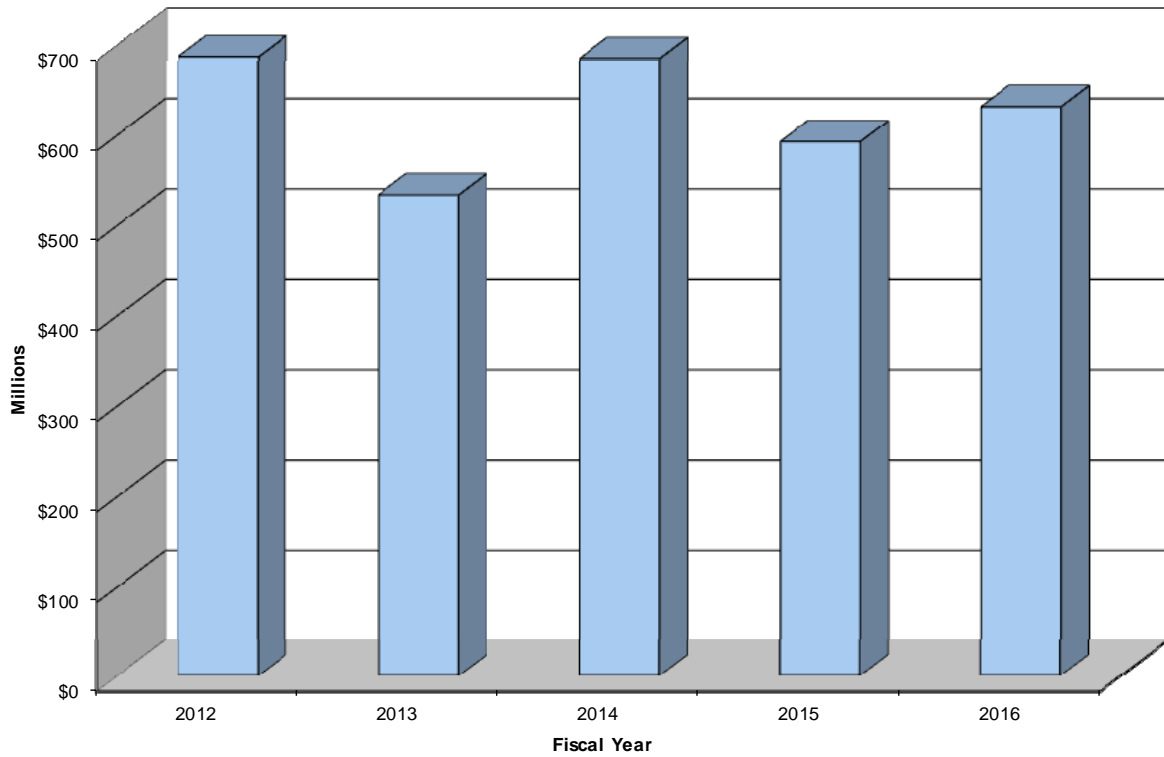
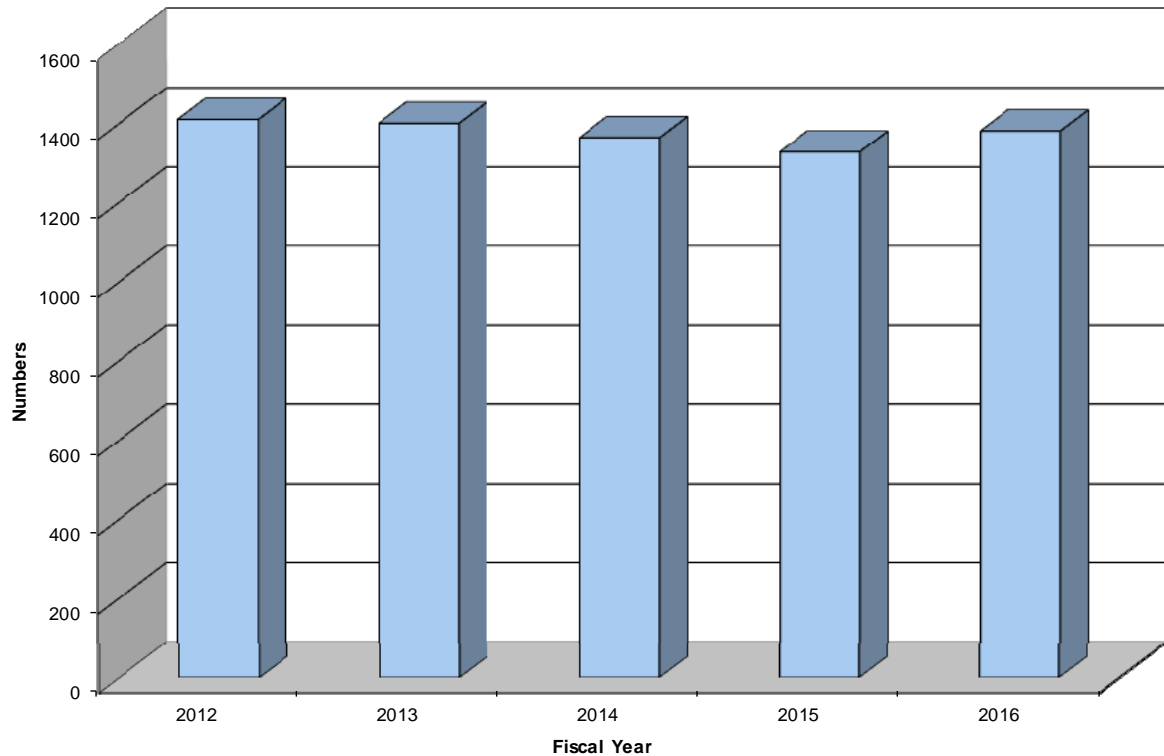


Figure 2: Number of New Proposals FY 2012-2016



PROPOSALS

Table 1
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year	2011		2012		2013		2014		2015	
Sponsor or Agency	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
US Dept of Agriculture										
New Awarded	23	\$19,099,399	24	\$11,877,442	23	\$10,873,174	33	\$12,048,809	25	\$11,533,636
New Not Awarded	28	\$11,244,781	18	\$3,642,447	38	\$14,767,257	31	\$15,548,148	31	\$17,219,731
Total New	51	\$30,344,180	42	\$15,519,889	61	\$25,640,431	64	\$27,596,957	56	\$28,753,367
% of New Prop Awarded	45%		57%		38%		52%		45%	
US Dept of Commerce										
New Awarded	4	\$533,539	8	\$1,820,185	2	\$178,912	3	\$318,197	4	\$439,989
New Not Awarded	15	\$26,370,103	4	\$831,786	3	\$572,566	4	\$911,646	3	\$1,241,920
Total New	19	\$26,903,642	12	\$2,651,971	5	\$751,478	7	\$1,229,843	7	\$1,681,909
% of New Prop Awarded	21%		67%		40%		43%		57%	
US Dept of Defense										
New Awarded	17	\$7,084,991	12	\$4,273,546	11	\$7,358,547	14	\$7,569,951	18	\$17,221,224
New Not Awarded	16	\$5,181,866	32	\$46,892,183	25	\$13,789,588	26	\$28,771,373	35	\$35,666,369
Total New	33	\$12,266,857	44	\$51,165,729	36	\$21,148,135	40	\$36,341,324	53	\$52,887,592
% of New Prop Awarded	52%		27%		31%		35%		34%	
US Dept of Education										
New Awarded	0	\$0	2	\$1,990,283	0	\$0	1	\$1,200,486	1	\$1,594,500
New Not Awarded	11	\$9,023,783	5	\$4,266,110	7	\$5,386,092	8	\$13,334,130	7	\$13,048,741
Total New	11	\$9,023,783	7	\$6,256,393	7	\$5,386,092	9	\$14,534,616	8	\$14,643,241
% of New Prop Awarded	0%		29%		0%		11%		13%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year Sponsor or Agency	2011		2012		2013		2014		2015	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
US Dept of Energy										
New Awarded	10	\$8,909,820	6	\$9,654,552	4	\$4,914,567	0	\$0	2	\$542,738
New Not Awarded	19	\$25,784,878	11	\$44,634,734	9	\$7,318,381	17	\$38,572,335	10	\$13,129,422
Total New	29	\$34,694,698	17	\$54,289,286	13	\$12,232,948	17	\$38,572,335	12	\$13,672,160
% of New Prop Awarded	34%		35%		31%		0%		17%	
US Dept of Health and Human Services										
New Awarded	23	\$30,034,496	25	\$32,756,645	14	\$21,266,295	25	\$25,765,113	14	\$26,263,000
New Not Awarded	103	\$134,030,755	102	\$133,031,745	117	\$130,082,141	110	\$109,662,673	121	\$140,217,615
Total New	126	\$164,065,251	127	\$165,788,390	131	\$151,348,436	135	\$135,427,786	135	\$166,480,615
% of New Prop Awarded	18%		20%		11%		19%		10%	
US Dept of Homeland Security										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	1	\$975,000	2	\$1,298,722	0	\$0	2	\$2,138,085
Total New	0	\$0	1	\$975,000	2	\$1,298,722	0	\$0	2	\$2,138,085
% of New Prop Awarded	0%		0%		0%		0%		0%	
US Dept of Housing and Urban Development										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	1	\$258,921	1	\$258,921	0	\$0	0	\$0
Total New	0	\$0	1	\$258,921	1	\$258,921	0	\$0	0	\$0
% of New Prop Awarded	0%		0%		0%		0%		0%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year Sponsor or Agency	2011		2012		2013		2014		2015	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
US Dept of Interior										
New Awarded	8	\$8,729,448	6	\$1,227,324	11	\$1,023,637	15	\$2,291,547	15	\$1,696,819
New Not Awarded	7	\$233,427	11	\$555,248	9	\$692,918	6	\$1,307,378	12	\$1,635,396
Total New	15	\$8,962,875	17	\$1,782,572	20	\$1,716,555	21	\$3,598,925	27	\$3,332,215
% of New Prop Awarded	53%		35%		55%		71%		56%	
US Dept of Justice										
New Awarded	1	\$700,443	0	\$0	3	\$684,380	0	\$0	1	\$500,000
New Not Awarded	3	\$2,068,543	1	\$498,785	0	\$0	0	\$0	1	\$3,575,438
Total New	4	\$2,768,986	1	\$498,785	3	\$684,380	0	\$0	2	\$4,075,438
% of New Prop Awarded	25%		0%		100%		0%		50%	
US Dept of Labor										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Total New	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
% of New Prop Awarded	0%		0%		0%		0%		0%	
US Dept of State										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	2	\$4,258,094	0	\$0	0	\$0	0	\$0
Total New	0	\$0	2	\$4,258,094	0	\$0	0	\$0	0	\$0
% of New Prop Awarded	0%		0%		0%		0%		0%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year Sponsor or Agency	2011		2012		2013		2014		2015	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
US Dept of Transportation										
New Awarded	1	\$127,284	0	\$0	2	\$304,782	0	\$0	3	\$897,016
New Not Awarded	3	\$447,384	2	\$3,535,029	3	\$1,846,067	3	\$774,242	2	\$248,865
Total New	4	\$574,668	2	\$3,535,029	5	\$2,150,849	3	\$774,242	5	\$1,145,881
% of New Prop Awarded	25%		0%		40%		0%		60%	
US Dept of the Treasury										
New Awarded	0	\$0	1	\$91,030	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Total New	0	\$0	1	\$91,030	0	\$0	0	\$0	0	\$0
% of New Prop Awarded	0%		100%		0%		0%		0%	
Independent Establishments & Govt Corps										
New Awarded	15	\$14,336,734	12	\$6,302,587	11	\$4,466,589	8	\$8,602,931	8	\$3,987,706
New Not Awarded	21	\$6,235,978	24	\$11,768,824	25	\$10,862,228	31	\$11,689,203	29	\$7,326,787
Total New	36	\$20,572,712	36	\$18,071,411	36	\$15,328,817	39	\$20,292,134	37	\$11,314,493
% of New Prop Awarded	42%		33%		31%		21%		22%	
National Science Foundation										
New Awarded	77	\$28,500,887	92	\$40,656,825	70	\$29,784,990	78	\$33,309,143	91	\$38,840,870
New Not Awarded	221	\$125,989,333	240	\$139,434,494	254	\$119,890,564	276	\$189,326,017	276	\$133,331,311
Total New	298	\$154,490,220	332	\$180,091,319	324	\$149,675,554	354	\$222,635,160	367	\$172,172,181
% of New Prop Awarded	26%		28%		22%		22%		25%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year	2011		2012		2013		2014		2015	
Sponsor or Agency	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
Other/Quasi Government Agencies										
New Awarded	3	\$214,160	3	\$241,449	3	\$260,007	1	\$787,794	3	\$351,383
New Not Awarded	0	\$0	0	\$0	0	\$0	3	\$2,089,116	1	\$558,834
Total New	3	\$214,160	3	\$241,449	3	\$260,007	4	\$2,876,910	4	\$910,217
% of New Prop Awarded	100%		100%		100%		25%		75%	
Total Federal New Proposals										
New Awarded	182	\$118,271,201	191	\$110,891,868	154	\$81,115,880	179	\$91,893,970	186	\$103,868,881
New Not Awarded	447	\$346,610,831	453	\$394,324,479	493	\$306,765,445	551	\$423,719,738	530	\$369,338,513
Total New	629	\$464,882,032	644	\$505,216,347	647	\$387,881,325	730	\$515,613,708	716	\$473,207,394
% of New Prop Awarded	29%		30%		24%		25%		26%	
Commonwealth of Massachusetts										
New Awarded	55	\$10,957,106	45	\$10,573,796	47	\$20,222,684	10	\$48,345,833	49	\$19,655,272
New Not Awarded	11	\$1,512,538	8	\$719,239	17	\$2,917,886	9	\$4,203,701	14	\$11,336,851
Total New	66	\$12,469,644	53	\$11,293,035	64	\$23,140,570	19	\$52,549,534	63	\$30,992,123
% of New Prop Awarded	83%		85%		73%		53%		78%	
Other States and Local Governments										
New Awarded	9	\$1,061,451	9	\$421,699	12	\$682,952	12	\$646,317	13	\$632,278
New Not Awarded	5	\$3,718,409	4	\$183,357	3	\$349,982	3	\$719,226	10	\$907,935
Total New	14	\$4,779,860	13	\$605,056	15	\$1,032,934	15	\$1,365,543	23	\$1,540,213
% of New Prop Awarded	64%		69%		80%		80%		57%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year Sponsor or Agency	2011 # Project Dollars		2012 # Project Dollars		2013 # Project Dollars		2014 # Project Dollars		2015 # Project Dollars	
Private Sector										
Non-Profit										
Foundations										
New Awarded	51	\$3,463,256	51	\$1,740,543	59	\$4,863,097	59	\$4,399,492	44	\$2,428,167
New Not Awarded	87	\$18,105,085	67	\$18,130,204	75	\$16,779,361	89	\$16,757,062	59	\$13,498,258
Total New	138	\$21,568,341	118	\$19,870,747	134	\$21,642,458	148	\$21,156,554	103	\$15,926,425
% of New Prop Awarded	37%		43%		44%		40%		43%	
Health Agencies										
New Awarded	4	\$61,875	6	\$327,181	9	\$141,335	6	\$350,820	2	\$1,980,640
New Not Awarded	1	\$293,776	16	\$4,831,440	19	\$2,884,553	18	\$2,218,433	11	\$1,973,825
Total New	5	\$355,651	22	\$5,158,621	28	\$3,025,888	24	\$2,569,253	13	\$3,954,465
% of New Prop Awarded	80%		27%		32%		25%		15%	
Institutes and Associations										
New Awarded	55	\$5,991,101	50	\$2,875,043	54	\$4,307,182	54	\$27,949,077	61	\$5,945,586
New Not Awarded	45	\$9,449,592	61	\$12,362,648	65	\$13,614,867	136	\$15,173,913	58	\$11,418,054
Total New	100	\$15,440,693	111	\$15,237,691	119	\$17,922,049	190	\$43,122,990	119	\$17,363,640
% of New Prop Awarded	55%		45%		45%		28%		51%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year	2011		2012		2013		2014		2015	
Sponsor or Agency	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
Other Colleges and Universities										
New Awarded	62	\$9,397,336	66	\$11,074,932	72	\$8,555,999	68	\$8,525,243	68	\$8,034,202
New Not Awarded	97	\$28,015,875	99	\$34,542,317	97	\$25,121,167	105	\$35,144,094	92	\$31,826,294
Total New	159	\$37,413,211	165	\$45,617,249	169	\$33,677,166	173	\$43,669,337	160	\$39,860,496
% of New Prop Awarded	39%		40%		43%		39%		43%	
Other Sponsors										
New Awarded	13	\$800,127	11	\$1,149,117	14	\$733,945	9	\$580,528	15	\$1,036,727
New Not Awarded	15	\$8,292,930	9	\$6,909,106	6	\$1,889,239	4	\$617,834	4	\$1,164,090
Total New	28	\$9,093,057	20	\$8,058,223	20	\$2,623,184	13	\$1,198,362	19	\$2,200,818
% of New Prop Awarded	46%		55%		70%		69%		79%	
Total Non-Profit										
New Awarded	185	\$19,713,695	184	\$17,166,815	208	\$18,601,558	196	\$41,805,160	190	\$19,425,322
New Not Awarded	245	\$64,157,258	252	\$76,775,715	262	\$60,289,187	352	\$69,911,336	224	\$59,880,521
Total New	430	\$83,870,953	436	\$93,942,530	470	\$78,890,745	548	\$111,716,496	414	\$79,305,843
% of New Prop Awarded	43%		42%		44%		36%		46%	
Industry										
New Awarded	95	\$23,307,609	91	\$8,155,443	85	\$6,977,450	94	\$9,226,662	85	\$7,367,996
New Not Awarded	30	\$4,625,469	31	\$10,005,450	45	\$6,496,840	43	\$6,864,896	30	\$2,369,845
Total New	125	\$27,933,078	122	\$18,160,893	130	\$13,474,290	137	\$16,091,558	115	\$9,737,840
% of New Prop Awarded	76%		75%		65%		69%		74%	

PROPOSALS

Table 1 (cont'd)
5 Year New Proposal Success Rate Trend FY 2011-2015

Fiscal Year Sponsor or Agency	2011		2012		2013		2014		2015	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
Total Private Sector										
New Awarded	280	\$43,021,304	275	\$25,322,258	293	\$25,579,008	290	\$51,031,822	275	\$26,793,318
New Not Awarded	275	\$68,782,727	283	\$86,781,165	307	\$66,786,027	395	\$76,776,232	254	\$62,250,366
Total New	555	\$111,804,031	558	\$112,103,423	600	\$92,365,035	685	\$127,808,054	529	\$89,043,684
% of New Prop Awarded	50%		49%		49%		42%		52%	
Total All Proposals										
New Awarded	526	\$173,311,062	520	\$147,209,621	506	\$127,600,524	491	\$191,917,942	523	\$150,949,748
New Not Awarded	738	\$420,624,505	748	\$482,008,240	820	\$376,819,340	958	\$505,418,897	808	\$443,833,665
Total New	1264	\$593,935,567	1268	\$629,217,861	1326	\$504,419,864	1449	\$697,336,839	1331	\$594,783,413
% of New Prop Awarded	42%		41%		38%		34%		39%	

PROPOSALS

Table 2

**5 Year New Proposal Trend by Major Budgetary Unit (MBU)
w/Full Project Dollars**

MBU	FY 2012		FY 2013		FY 2014		FY 2015		FY 2016	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	1	\$4,451,624	1	\$2,840,457	0	\$0	0	\$0	0	\$0
Academic Affairs	0	\$0	0	\$0	1	\$978,460	2	\$526,735	4	\$746,329
Academic Support	22	\$619,182	16	\$325,967	0	\$0	0	\$0	0	\$0
Academic Support Services	0	\$0	0	\$0	11	\$75,440	15	\$3,217,743	16	\$417,168
Admin Support Units	0	\$0	0	\$0	1	\$5,000	1	\$3,858	0	\$0
Administration and Finance	0	\$0	0	\$0	1	\$106,500	1	\$212,475	2	\$556,179
Campus Services	1	\$127,284	0	\$0	0	\$0	0	\$0	0	\$0
Center for Student Development	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
College of Engineering	269	\$139,427,981	281	\$109,859,830	245	\$121,402,870	269	\$120,697,917	283	\$115,091,577
College of Humanities & Fine Arts	33	\$5,607,295	34	\$4,200,267	32	\$3,728,587	38	\$3,079,075	27	\$2,277,627
College of Info and Computer Science	0	\$0	0	\$0	0	\$0	0	\$0	113	\$67,026,674
College of Natural Sciences	747	\$376,017,384	724	\$287,604,361	754	\$371,494,748	746	\$337,854,322	601	\$276,933,746
College of Social & Behavioral Sciences	78	\$10,123,677	64	\$6,790,239	75	\$8,818,022	56	\$7,399,074	86	\$17,283,029
Commonwealth College	2	\$90,198	0	\$0	0	\$0	0	\$0	0	\$0
Dean of Students	7	\$648,278	7	\$1,103,480	7	\$507,245	2	\$117,853	1	\$105,000
Deputy Chancellor	1	\$867,040	0	\$0	0	\$0	0	\$0	0	\$0
Environmental Health & Safety	1	\$233,332	2	\$179,250	0	\$0	0	\$0	0	\$0
Facilities & Campus Services	1	\$1,944,000	0	\$0	1	\$149,435	3	\$1,257,884	2	\$574,718
Graduate School	3	\$3,122,528	3	\$1,453,722	1	\$92,480	4	\$4,805,748	2	\$71,217
Health Services	1	\$467,193	0	\$0	0	\$0	0	\$0	0	\$0
Human Resources	2	\$73,970	9	\$1,333,755	5	\$3,338,536	7	\$1,201,309	8	\$368,182
Institute Applied Life Science	0	\$0	0	\$0	1	\$19,982,000	0	\$0	0	\$0
Office of Information Technologies	2	\$424,923	2	\$761,288	1	\$84,000	3	\$227,630	2	\$265,316
Physical Plant	0	\$0	1	\$387,000	0	\$0	0	\$0	0	\$0
Rsrch Liaison & Tech Transfer	0	\$0	2	\$16,600	0	\$0	0	\$0	0	\$0
School of Education	33	\$20,025,954	35	\$11,160,926	33	\$45,997,954	29	\$20,772,117	41	\$17,352,531
School of Management	29	\$7,710,461	19	\$7,671,428	11	\$4,072,825	11	\$4,422,741	12	\$4,790,584
School of Nursing	13	\$2,708,106	10	\$6,887,471	21	\$10,108,418	14	\$10,276,860	17	\$7,774,610
Sch of Public Health & Health Sciences	108	\$64,878,235	142	\$72,469,049	132	\$71,781,834	110	\$65,408,050	136	\$109,239,311
Student Affairs and Campus Life	0	\$0	0	\$0	3	\$498,017	2	\$67,019	4	\$586,286
Undergraduate Affairs	0	\$0	1	\$24,996	2	\$34,829	0	\$0	0	\$0
University Library	2	\$91,319	0	\$0	0	\$0	1	\$150,000	1	\$245,563
University Outreach	0	\$0	1	\$50,001	0	\$0	0	\$0	0	\$0
University Relations	4	\$323,834	1	\$324,716	2	\$448,786	1	\$445,000	1	\$326,791
VC Student Affairs	2	\$969,703	2	\$1,499,897	0	\$0	0	\$0	0	\$0
VCRE/Vice Chancellor for Research	50	\$44,975,520	43	\$16,721,089	26	\$20,289,158	15	\$10,845,393	24	\$9,381,719
Total	1,412	\$685,929,021	1,400	\$533,665,789	1,366	\$683,995,144	1,330	\$592,988,803	1,383	\$631,414,157

Proposals

Table 3
New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Academic Affairs					
Provost's Office	4	221,283	11,329	232,612	746,329
MBU Total FY 2016	4	\$221,283	\$11,329	\$232,612	\$746,329
MBU Total FY 2015	2	\$271,741	\$34,415	\$306,156	\$526,735
% Change FY 2015 to FY 2016	100%	-19%	-67%	-24%	42%
Academic Support Services					
Fine Arts Center	15	324,468	0	324,468	398,418
Teaching Development Center	1	12,500	0	12,500	18,750
MBU Total FY 2016	16	\$336,968	\$0	\$336,968	\$417,168
MBU Total FY 2015	15	\$785,692	\$90,279	\$875,971	\$3,217,743
% Change FY 2015 to FY 2016	7%	-57%	-100%	-62%	-87%
Administration and Finance					
Environmental Health & Safety	2	516,570	39,609	556,179	556,179
MBU Total FY 2016	2	\$516,570	\$39,609	\$556,179	\$556,179
MBU Total FY 2015	1	\$212,475	\$0	\$212,475	\$212,475
% Change FY 2015 to FY 2016	100%	143%	100%	162%	162%
College of Engineering					
Chemical Engineering	36	4,751,692	1,443,874	6,195,566	20,521,269
Civil & Environmental Engineering	58	7,885,952	2,442,989	10,328,941	18,516,414
Dean-School of Engineering	1	72,264	38,546	110,810	339,488
Electrical and Computer Engineering	100	10,400,798	4,251,821	14,652,619	41,565,826
Engineering Research Center	2	178,197	78,548	256,745	428,590
Mechanical and Industrial Engineering	65	6,310,197	2,615,205	8,925,402	25,444,812
UMASS Transportation Center	21	2,579,079	719,875	3,298,954	8,275,179
MBU Total FY 2016	283	\$32,178,178	\$11,590,858	\$43,769,036	\$115,091,577
MBU Total FY 2015	269	\$32,317,727	\$11,337,574	\$43,655,301	\$120,697,917
% Change FY 2015 to FY 2016	5%	0%	2%	0%	-5%

Proposals

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
College of Humanities & Fine Arts					
Architecture	5	203,935	77,085	281,020	853,312
Art History	1	1,421	0	1,421	1,421
Classics	2	281,468	77,167	358,635	463,750
English	6	29,191	2,109	31,300	56,600
History	2	59,334	3,166	62,500	62,500
Judaic and Near Eastern Studies	1	50,400	0	50,400	50,400
Language, Literature & Culture	4	199,760	41,897	241,657	243,253
Linguistics	1	51,899	23,756	75,655	232,554
Music & Dance	2	91,947	52,564	144,511	273,080
Theatre	1	5,860	0	5,860	5,860
Women's Studies	2	34,897	0	34,897	34,897
MBU Total FY 2016	27	\$1,010,112	\$277,744	\$1,287,856	\$2,277,627
MBU Total FY 2015	38	\$1,495,166	\$445,734	\$1,940,900	\$3,079,075
% Change FY 2015 to FY 2016	-29%	-32%	-38%	-34%	-26%
College of Info and Computer Science					
Computer Science	113	20,379,331	5,738,339	26,117,670	67,026,674
MBU Total FY 2016	113	\$20,379,331	\$5,738,339	\$26,117,670	\$67,026,674
College of Natural Sciences					
Agricultural Experiment Station	4	3,163,752	0	3,163,752	3,163,752
Astronomy	42	6,289,128	1,488,496	7,777,624	23,208,395
Biochemistry and Molecular Biology	32	5,094,364	1,796,527	6,890,891	28,100,631
Biology	45	5,471,135	2,333,414	7,804,549	28,149,851
Center for Agriculture	3	48,383	15,378	63,761	82,946
Chemistry	54	8,024,511	3,240,338	11,264,849	41,304,063
Cranberry Station - Extension	17	1,521,420	343,095	1,864,515	2,074,482
CUMIRP/PSE	16	804,495	416,402	1,220,897	1,220,897
Environmental Conservation	52	4,273,360	1,117,939	5,391,299	13,374,775
Food Science	42	3,179,648	1,358,807	4,538,455	13,441,086
Geosciences	40	2,357,131	1,048,218	3,405,349	7,561,694
Mathematics and Statistics	32	1,574,537	738,656	2,313,193	7,151,990
Microbiology	33	4,439,532	1,829,224	6,268,756	21,368,365
Physics	25	2,984,940	1,231,505	4,216,445	14,101,021
Polymer Science and Engineering	28	3,073,619	1,109,070	4,182,689	13,575,450
Psychology	42	5,761,677	2,509,554	8,271,231	29,172,987
Stockbridge School	42	1,211,473	347,667	1,559,140	3,572,059
UMASS Extension	15	4,513,301	74,303	4,587,604	4,958,215
Veterinary and Animal Sciences	33	4,689,931	1,476,043	6,165,974	20,885,149
Water Resources and Research Ctr	4	277,851	27,337	305,188	465,938
MBU Total FY 2016	601	\$68,754,189	\$22,501,973	\$91,256,162	\$276,933,746
MBU Total FY 2015	746	\$90,556,274	\$28,581,699	\$119,137,973	\$337,854,323
% Change FY 2015 to FY 2016	-19%	-24%	-21%	-23%	-18%

Proposals

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
College of Social & Behavioral Sciences					
Anthropology	15	734,918	180,140	915,058	4,819,160
Anthropology - Archaeological Services	15	202,655	89,011	291,666	291,666
Communication	1	7,906	0	7,906	7,906
Economics	7	369,240	21,765	391,005	721,522
Landscape Arch & Regional Planning	7	398,685	88,510	487,195	1,175,181
Political Science	12	554,174	197,166	751,340	1,319,194
Public Policy	5	200,352	50,320	250,672	658,902
Resource Economics	5	217,219	100,781	318,000	989,940
Sociology	19	1,197,218	649,426	1,846,644	7,299,558
MBU Total FY 2016	86	\$3,882,367	\$1,377,119	\$5,259,486	\$17,283,029
MBU Total FY 2015	56	\$2,664,792	\$862,219	\$3,527,011	\$7,399,074
% Change FY 2015 to FY 2016	54%	46%	60%	49%	134%
Dean of Students					
Disability Services	1	92,699	7,638	100,337	105,000
MBU Total FY 2016	1	\$92,699	\$7,638	\$100,337	\$105,000
MBU Total FY 2015	2	\$97,018	\$8,058	\$105,076	\$117,853
% Change FY 2015 to FY 2016	-50%	-4%	-5%	-5%	-11%
Facilities & Campus Services					
Executive Office	2	574,718	0	574,718	574,718
MBU Total FY 2016	2	\$574,718	\$0	\$574,718	\$574,718
MBU Total FY 2015	3	\$989,884	\$0	\$989,884	\$1,257,884
% Change FY 2015 to FY 2016	-33%	-42%	0%	-42%	-54%
Graduate School					
Graduate Dean's Office	2	57,924	13,293	71,217	71,217
MBU Total FY 2016	2	\$57,924	\$13,293	\$71,217	\$71,217
MBU Total FY 2015	4	\$1,169,719	\$4,029	\$1,173,748	\$4,805,748
% Change FY 2015 to FY 2016	-50%	-95%	230%	-94%	-99%

Proposals

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Human Resources					
Human Resources	8	321,374	46,808	368,182	368,182
MBU Total FY 2016	8	\$321,374	\$46,808	\$368,182	\$368,182
MBU Total FY 2015	7	\$650,674	\$123,810	\$774,484	\$1,201,309
% Change FY 2015 to FY 2016	14%	-51%	-62%	-52%	-69%
Information Technologies					
CIO	2	103,939	61,844	165,783	265,316
MBU Total FY 2016	2	\$103,939	\$61,844	\$165,783	\$265,316
MBU Total FY 2015	3	\$131,540	\$18,637	\$150,177	\$227,630
% Change FY 2015 to FY 2016	-33%	-21%	232%	10%	17%
Library					
University Library - Admin Services	1	128,569	0	128,569	245,563
MBU Total FY 2016	1	\$128,569	\$0	\$128,569	\$245,563
MBU Total FY 2015	1	\$150,000	\$0	\$150,000	\$150,000
% Change FY 2015 to FY 2016	0%	-14%	0%	-14%	64%
School of Education					
Educational Policy Research & Admin	16	2,722,171	199,876	2,922,047	5,227,040
Student Dev & Pupil Personnel Services	13	1,849,056	379,196	2,228,252	6,266,339
Teacher Ed & Curriculum Studies	12	1,251,672	472,595	1,724,267	5,859,153
MBU Total FY 2016	41	\$5,822,899	\$1,051,667	\$6,874,566	\$17,352,531
MBU Total FY 2015	29	\$4,055,324	\$1,334,007	\$5,389,331	\$20,772,117
% Change FY 2015 to FY 2016	41%	44%	-21%	28%	-16%
School of Management					
MA Small Business Dev Ctr	6	3,642,670	8,664	3,651,334	3,651,334
Marketing	1	50,000	26,707	76,707	153,261
Operations Information Managment	4	221,491	117,716	339,207	984,990
Sport Management	1	833	166	999	999
MBU Total FY 2016	12	\$3,914,994	\$153,253	\$4,068,247	\$4,790,584
MBU Total FY 2015	11	\$3,924,928	\$96,224	\$4,021,152	\$4,422,741
% Change FY 2015 to FY 2016	9%	0%	59%	1%	8%

Proposals

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
School of Nursing					
Nursing	17	2,580,615	541,865	3,122,480	7,774,610
MBU Total FY 2016	17	\$2,580,615	\$541,865	\$3,122,480	\$7,774,610
MBU Total FY 2015	14	\$2,355,753	\$777,452	\$3,133,205	\$10,276,860
% Change FY 2015 to FY 2016	21%	10%	-30%	0%	-24%
School of Public Health & Health Sciences					
Biostatistics and Epidemiology	51	9,015,119	3,370,061	12,385,180	47,137,796
Communications Disorders	7	1,605,689	851,544	2,457,233	8,718,605
Dean Health Sciences	1	12,281	7,308	19,589	149,882
Environmental Health Sciences	19	2,556,453	1,086,389	3,642,842	13,063,813
Health Promotion and Policy	26	2,772,711	1,145,735	3,918,446	13,487,724
Kinesiology	25	3,974,396	1,772,338	5,746,734	22,471,062
Nutrition	7	3,205,093	795,025	4,000,118	4,210,429
MBU Total FY 2016	136	\$23,141,742	\$9,028,400	\$32,170,142	\$109,239,311
MBU Total FY 2015	110	\$16,127,413	\$5,047,988	\$21,175,401	\$65,408,050
% Change FY 2015 to FY 2016	24%	43%	79%	52%	67%
Student Affairs and Campus Life					
Auxiliary Services, Office of Director	1	225,467	22,551	248,018	500,005
Center for Women and Community	2	75,221	0	75,221	75,221
Family Resources	1	10,634	426	11,060	11,060
MBU Total FY 2016	4	\$311,322	\$22,977	\$334,299	\$586,286
MBU Total FY 2015	2	\$67,019	\$0	\$67,019	\$67,019
% Change FY 2015 to FY 2016	100%	365%	100%	399%	775%
University Relations					
WFCR	1	326,791	0	326,791	326,791
MBU Total FY 2016	1	\$326,791	\$0	\$326,791	\$326,791
MBU Total FY 2015	1	\$445,000	\$0	\$445,000	\$445,000
% Change FY 2015 to FY 2016	0%	-27%	0%	-27%	-27%

Proposals

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
VC for Research & Engagement					
Baystate/UM PVLSI	4	665,290	273,039	938,329	2,532,961
Mass Nanotech	6	5,410,897	212,649	5,623,546	5,623,546
Research Liaison Development	1	89,907	53,495	143,402	168,001
University Press	12	57,211	0	57,211	57,211
VC for Research & Engagement	1	1,000,000	0	1,000,000	1,000,000
MBU Total FY 2016	24	\$7,223,305	\$539,183	\$7,762,488	\$9,381,719
MBU Total FY 2015	15	\$1,725,491	\$679,101	\$2,404,592	\$10,845,393
% Change FY 2015 to FY 2016	60%	319%	-21%	223%	-13%
Cumulative Total FY 16	1,383	\$171,879,889	\$53,003,899	\$224,883,788	\$631,414,157
Cumulative Total FY 15	1,330	\$160,197,486	\$49,441,226	\$209,638,712	\$592,988,803
Cumulative Total FY 14	1,366	\$181,892,668	\$51,010,565	\$232,903,233	\$683,995,144
% Change FY 2015 to FY 2016	4%	7%	7%	7%	7%
% Change FY 2014 to FY 2015	-2%	-12%	-3%	-10%	-13%

PROPOSALS

Table 4
5 Year New Proposal Trend by Sponsor Category
W/Total Project Dollars

Sponsor Category	FY 2012		FY 2013		FY 2014		FY 2015		FY 2016	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	727	\$542,818,698	691	\$406,801,912	698	\$504,578,755	715	\$471,412,783	679	\$498,864,532
Commonwealth of MA	62	\$16,295,923	66	\$24,708,704	54	\$50,354,536	63	\$30,992,123	71	\$33,577,788
Other States & Local Gov'ts	15	\$919,795	20	\$1,382,206	20	\$1,371,954	23	\$1,540,213	15	\$1,071,782
Non-Profit	470	\$100,435,652	490	\$85,981,664	458	\$111,542,172	414	\$79,305,844	469	\$74,810,845
Industry	138	\$25,458,952	135	\$14,791,302	136	\$16,147,727	115	\$9,737,840	149	\$23,086,743
Total	1,412	\$685,929,020	1,402	\$533,665,789	1,366	\$683,995,144	1,330	\$592,988,803	1,383	\$631,411,690

Proposals

Table 5
New Proposals Submitted by Sponsor FY 2016

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Agriculture					
Agricultural Marketing Service (USDA - AMS)	1	62,721	0	62,721	119,418
Agricultural Research Service (USDA - ARS)	3	200,942	699	201,641	201,641
Animal and Plant Health Inspec Serv (APHIS)	2	196,086	19,609	215,695	215,695
Forest Service (USFS)	4	279,783	0	279,783	307,550
Nat'l Institute of Food and Agriculture (NIFA)	12	8,375,035	350,684	8,725,719	8,962,661
US Dept of Agriculture (USDA)	4	1,351,158	64,468	1,415,626	3,737,416
Agency Total FY 2016	26	\$10,465,725	\$435,460	\$10,901,185	\$13,544,381
Agency Total FY 2015	56	\$11,872,759	\$1,520,707	\$13,393,466	\$28,753,367
% Change FY 2015 to FY 2016	-54%	-12%	-71%	-19%	-53%
US Dept of Commerce					
National Institute of Standards and Tech	1	134,478	42,381	176,859	507,311
Nat'l Oceanic and Atmospheric Admin (NOAA)	8	588,667	250,902	839,569	2,005,254
Agency Total FY 2016	9	\$723,145	\$293,283	\$1,016,428	\$2,512,565
Agency Total FY 2015	7	\$528,388	\$218,539	\$746,927	\$1,681,909
% Change FY 2015 to FY 2016	29%	37%	34%	36%	49%
US Dept of Defense					
Air Force Office of Scientific Research (AFOSR)	1	84,680	37,339	122,019	359,224
Army Corps of Engineers	1	101,998	9,203	111,201	111,201
Army Research Lab (ARL)	1	52,875	25,526	78,401	242,602
Army Research Office (ARO)	5	567,150	211,042	778,192	2,013,668
Defense Advanced Research Proj Agency (DARPA)	7	1,929,957	707,673	2,637,630	8,274,873
Defense Logistics Agency	1	308,274	0	308,274	308,274
Defense Threat Reduction Agency	1	499,237	222,701	721,938	2,815,448
Naval Research Laboratory	1	37,618	22,382	60,000	60,000
Office of Naval Research (ONR)	5	753,836	218,185	972,021	3,361,886
US Dept of Defense (DOD)	8	2,587,496	1,340,743	3,928,239	12,140,076
Agency Total FY 2016	31	\$6,923,120	\$2,794,794	\$9,717,914	\$29,687,251
Agency Total FY 2015	53	\$14,468,776	\$4,825,671	\$19,294,447	\$52,887,592
% Change FY 2015 to FY 2016	-42%	-52%	-42%	-50%	-44%
US Dept of Education					
Institute of Education Sciences	3	714,580	228,860	943,440	3,574,915
US Dept of Education (DOED)	2	506,699	81,146	587,845	2,749,468
Agency Total FY 2016	5	\$1,221,279	\$310,006	\$1,531,285	\$6,324,383
Agency Total FY 2015	8	\$2,916,947	\$650,466	\$3,567,413	\$14,643,241
% Change FY 2015 to FY 2016	-38%	-58%	-52%	-57%	-57%

Proposals

Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2016

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Energy					
US Dept of Energy (DOE)	21	5,676,302	2,121,300	7,797,602	26,135,579
Agency Total FY 2016	21	\$5,676,302	\$2,121,300	\$7,797,602	\$26,135,579
Agency Total FY 2015	12	\$2,866,899	\$1,390,195	\$4,257,094	\$13,672,160
% Change FY 2015 to FY 2016	75%	98%	53%	83%	91%
US Dept of Health and Human Services					
Food and Drug Administration (FDA)	1	154,838	45,127	199,965	399,929
Health Resources and Services Admin (HRSA)	2	924,406	118,265	1,042,671	2,408,468
National Institutes of Health (NIH)	172	40,771,813	17,563,060	58,334,873	223,428,258
Substance Abuse and Mental Health Serv	1	268,519	21,483	290,002	870,006
US Dept of Health and Human Services (DHHS)	1	129,067	70,862	199,929	598,601
Agency Total FY 2016	177	\$42,248,643	\$17,818,797	\$60,067,440	\$227,705,262
Agency Total FY 2015	134	\$29,396,244	\$11,316,614	\$40,712,858	\$164,686,499
% Change FY 2015 to FY 2016	32%	44%	57%	48%	38%
US Dept of Interior					
Bureau of Safety and Environ Enforcement	1	92,799	55,215	148,014	148,014
Geological Survey (USGS)	13	726,332	164,451	890,783	1,399,491
National Park Service	1	21,834	3,166	25,000	25,000
National Park Service-No. Atlantic Reg.	1	29,788	5,212	35,000	35,000
NE Water Science Ctr - CT Office (USGS)	1	28,817	17,146	45,963	45,963
US Fish and Wildlife Service (FWS)	3	150,828	22,039	172,867	172,867
Agency Total FY 2016	20	\$1,050,397	\$267,229	\$1,317,626	\$1,826,334
Agency Total FY 2015	28	\$1,638,669	\$435,659	\$2,074,328	\$3,332,215
% Change FY 2015 to FY 2016	-29%	-36%	-39%	-36%	-45%
US Dept of Justice					
Federal Bureau of Investigation (FBI)	1	250,783	149,216	399,999	399,999
National Inst of Justice (NIJ)	2	239,772	94,451	334,223	999,422
Agency Total FY 2016	3	\$490,555	\$243,667	\$734,222	\$1,399,421
Agency Total FY 2015	2	\$862,172	\$300,349	\$1,162,521	\$4,075,438
% Change FY 2015 to FY 2016	50%	-43%	-19%	-37%	-66%
US Dept of State					
U.S. Embassy in Moscow, Russia	1	64,965	34,817	99,782	99,782
US Dept of State	1	111,505	60,410	171,915	296,304
Agency Total FY 2016	2	\$176,470	\$95,227	\$271,697	\$396,086

Proposals

Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2016

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Transportation					
Federal Highway Administration (FHA)	1	5,000	0	5,000	5,000
Federal Motor Carrier Safety Admin	1	91,384	54,373	145,757	233,989
Federal Railroad Administration	1	86,806	45,714	132,520	248,022
US Dept of Transportation (DOT)	1	1,264,884	235,097	1,499,981	1,499,981
Agency Total FY 2016	4	\$1,448,074	\$335,184	\$1,783,258	\$1,986,992
Agency Total FY 2015	5	\$456,091	\$236,707	\$692,798	\$1,145,881
% Change FY 2015 to FY 2016	-20%	217%	42%	157%	73%
Independent Establishments & Govt Corps					
Agency for International Development (AID)	1	170,298	87,063	257,361	505,203
National Aero and Space Administration (NASA)	21	1,335,187	558,726	1,893,913	5,827,890
National Endowment for the Arts (NEA)	4	169,116	16,911	186,027	186,027
National Endowment for the Humanities (NEH)	6	552,930	215,537	768,467	1,020,669
Small Business Administration (SBA)	1	2,151,838	0	2,151,838	2,151,838
Agency Total FY 2016	33	\$4,379,369	\$878,237	\$5,257,606	\$9,691,627
Agency Total FY 2015	37	\$5,026,390	\$1,127,660	\$6,154,050	\$11,314,493
% Change FY 2015 to FY 2016	-11%	-13%	-22%	-15%	-14%
National Science Foundation					
National Science Foundation (NSF)	345	38,243,213	16,091,020	54,334,233	177,466,184
Agency Total FY 2016	345	\$38,243,213	\$16,091,020	\$54,334,233	\$177,466,184
Agency Total FY 2015	367	\$37,835,189	\$15,914,695	\$53,749,884	\$172,171,688
% Change FY 2015 to FY 2016	-6%	1%	1%	1%	3%
Other/Quasi Government Agencies					
National Fish and Wildlife Foundation (NFWF)	1	48,865	29,074	77,939	82,902
National Research Council (NRC)	1	2,000	0	2,000	2,000
Smithsonian Astrophysical Observatory	1	64,930	38,635	103,565	103,565
Agency Total FY 2016	3	\$115,795	\$67,709	\$183,504	\$188,467
Agency Total FY 2015	4	\$334,241	\$105,542	\$439,783	\$910,217
% Change FY 2015 to FY 2016	-25%	-65%	-36%	-58%	-79%
Total FY 2016 - Federal	679	\$113,162,086	\$41,751,913	\$154,913,999	\$498,864,532
Total FY 2015 - Federal	715	\$108,795,768	\$38,327,635	\$147,123,403	\$471,412,784
Total FY 2014 - Federal	966	\$147,632,994	\$55,552,477	\$203,185,470	\$678,852,785
% Change FY 2015 to FY 2016	-5%	4%	9%	5%	6%
% Change FY 2014 to FY 2015	-26%	-26%	-31%	-28%	-31%

Proposals

Table 5 (cont'd)

New Proposals Submitted by Sponsor FY 2016

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Commonwealth of Massachusetts					
MA Clean Energy Center	12	652,842	147,582	800,424	1,301,735
MA Cultural Council	6	193,400	0	193,400	199,400
MA Department of Energy Resources	2	920,903	96,850	1,017,753	1,772,615
MA Dept of Agricultural Resources	10	476,349	71,775	548,124	1,097,310
MA Dept of Conservation and Recreation	3	144,051	25,764	169,815	304,861
MA Dept of Economic Development	1	4,966,000	0	4,966,000	4,966,000
MA Dept of Environmental Protection	3	1,390,057	225,636	1,615,693	1,615,693
MA Dept of Fish and Game	1	161,500	0	161,500	161,500
MA Dept of Public Health (DPH)	2	87,806	21,592	109,398	503,158
MA Dept of State Police	2	108,222	28,137	136,359	136,359
MA Dept of Transitional Assistance	1	2,953,790	732,867	3,686,657	3,686,657
MA Dept of Transportation	7	2,267,398	572,870	2,840,268	7,559,531
MA Div of Ecological Restoration (DER)	1	32,376	8,417	40,793	70,989
MA Division of Energy Resources	1	74,718	0	74,718	74,718
MA Division of Fisheries and Wildlife (DFW)	4	258,014	12,141	270,155	551,165
MA Emergency Management Agency	1	450,000	0	450,000	450,000
MA Exec Off of Education	1	92,699	7,638	100,337	105,000
MA Exec Off of Health & Human Services	1	9,377	0	9,377	9,377
MA Exec Off of Housing and Economic Dev	2	2,322,000	0	2,322,000	2,322,000
MA Exec Off of Public Safety & Security	2	114,141	52,038	166,179	166,179
MA Office for Victim Assistance	1	65,844	0	65,844	65,844
MA Office of Business Development	2	1,177,558	8,664	1,186,222	1,186,222
MA Technology Collaborative	1	2,193,468	0	2,193,468	5,000,000
MA Technology Transfer Center	2	80,000	0	80,000	80,000
MA Water Resources Authority	2	157,940	33,535	191,475	191,475
Agency Total FY 2016	71	\$21,350,452	\$2,045,506	\$23,395,958	\$33,577,788
Agency Total FY 2015	63	\$18,969,682	\$2,524,768	\$21,494,450	\$30,992,123
% Change FY 2015 to FY 2016	13%	13%	-19%	9%	8%
Other States and Local Governments					
CA Department of Water Resources	1	121,799	66,537	188,336	188,336
City of Newburyport	1	6,988	1,757	8,745	8,745
CT Agricultural Experiment Station	1	6,950	2,978	9,928	19,997
Maine State of	1	134,958	32,618	167,576	270,556
New England Transportation Consortium	1	57,767	23,860	81,627	164,998
NH Dept of Transportation	1	0	0	0	0
Pioneer Valley Planning Commission	2	123,199	24,758	147,957	147,957
School District of Palm Beach County FL	1	31,217	18,574	49,791	149,653
Springfield City of	2	15,455	1,544	16,999	16,999
Town of Shutesbury	1	1,054	273	1,327	1,327
Upper Blackstone WPAD	1	81,916	21,298	103,214	103,214
VT Agency of Transportation	1	0	0	0	0
VT Dept of Forests, Parks and Recreation	1	0	0	0	0
Agency Total FY 2016	15	\$581,303	\$194,197	\$775,500	\$1,071,782
Agency Total FY 2015	23	\$866,780	\$232,709	\$1,099,489	\$1,540,213
% Change FY 2015 to FY 2016	-35%	-33%	-17%	-29%	-30%

Proposals

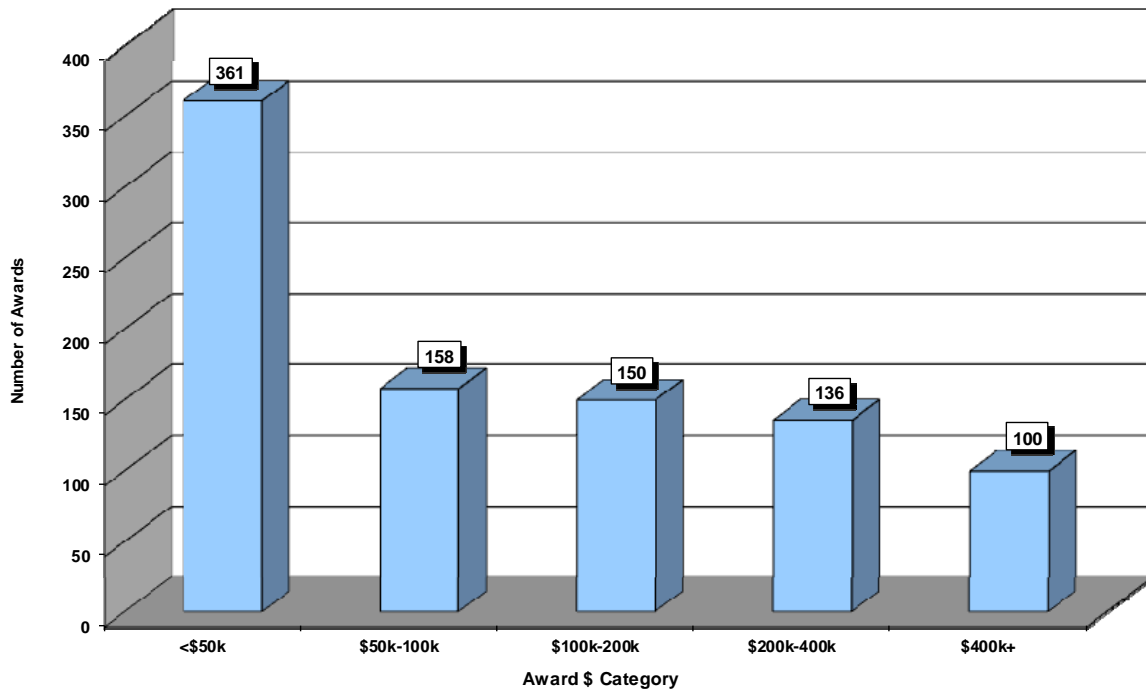
Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2016

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Private Sector					
Non - Profit					
Foundations	124	7,859,110	418,368	8,277,478	20,242,238
Health Agencies	11	192,512	106,732	299,244	1,330,193
Institutes and Associations	116	5,293,755	1,148,255	6,442,010	14,087,284
Other Colleges and Universities	187	8,904,102	3,742,703	12,646,805	37,207,734
Other Sponsors	31	1,244,885	114,254	1,359,139	1,943,396
Total -- Non - Profit	469	23,494,364	5,530,312	29,024,676	74,810,845
Total -- Industry	149	13,291,683	3,481,971	16,773,654	23,086,743
Total FY 2016 -- Private Sector	618	\$36,786,047	\$9,012,283	\$45,798,330	\$97,897,588
Total FY 2015 -- Private Sector	529	\$31,565,256	\$8,356,114	\$39,921,370	\$89,043,684
% Change FY 2015 to FY 2016	17%	17%	8%	15%	10%
Cumulative Total FY 16	1,383	\$171,879,889	\$53,003,899	\$224,883,788	\$631,414,157
Cumulative Total FY 15	1,330	\$160,197,486	\$49,441,226	\$209,638,712	\$592,988,803
Cumulative Total FY 14	1,366	\$181,892,668	\$51,010,565	\$232,903,233	\$683,995,144
% Change FY 2015 to FY 2016	4%	7%	7%	7%	6%
% Change FY 2014 to FY 2015	-3%	-12%	-3%	-10%	-13%

AWARDS

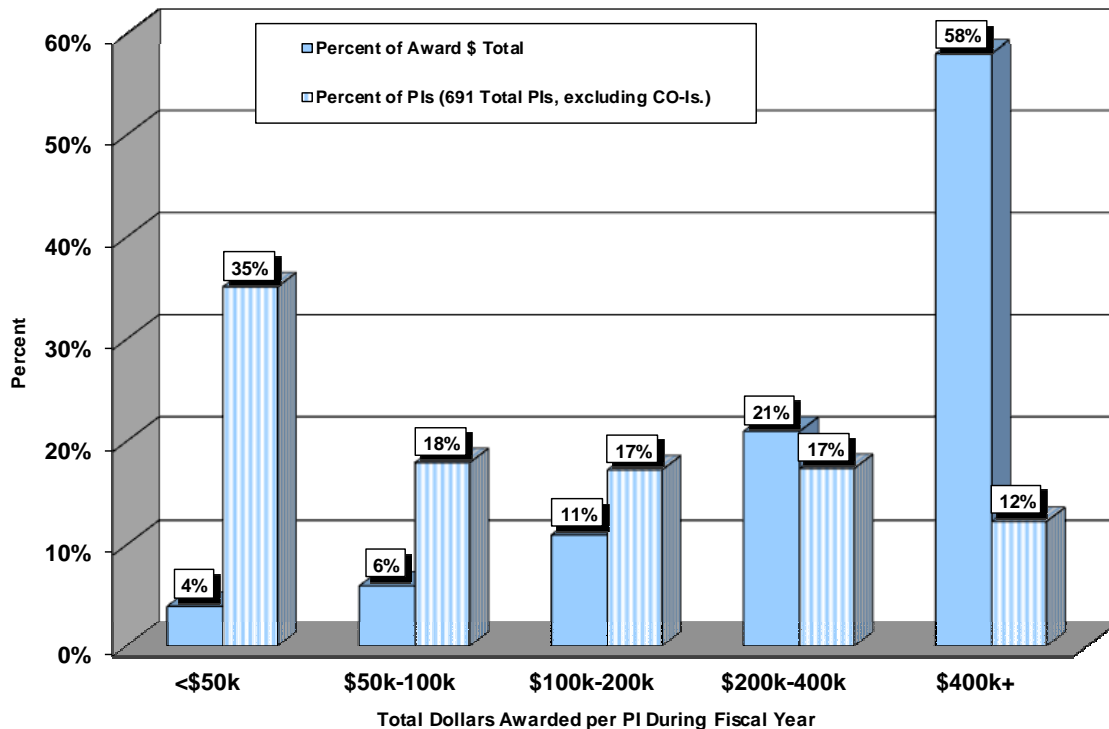
AWARD DISTRIBUTION ANALYSIS

Figure 3: Distribution of Awards by Dollar Category FY 2016*



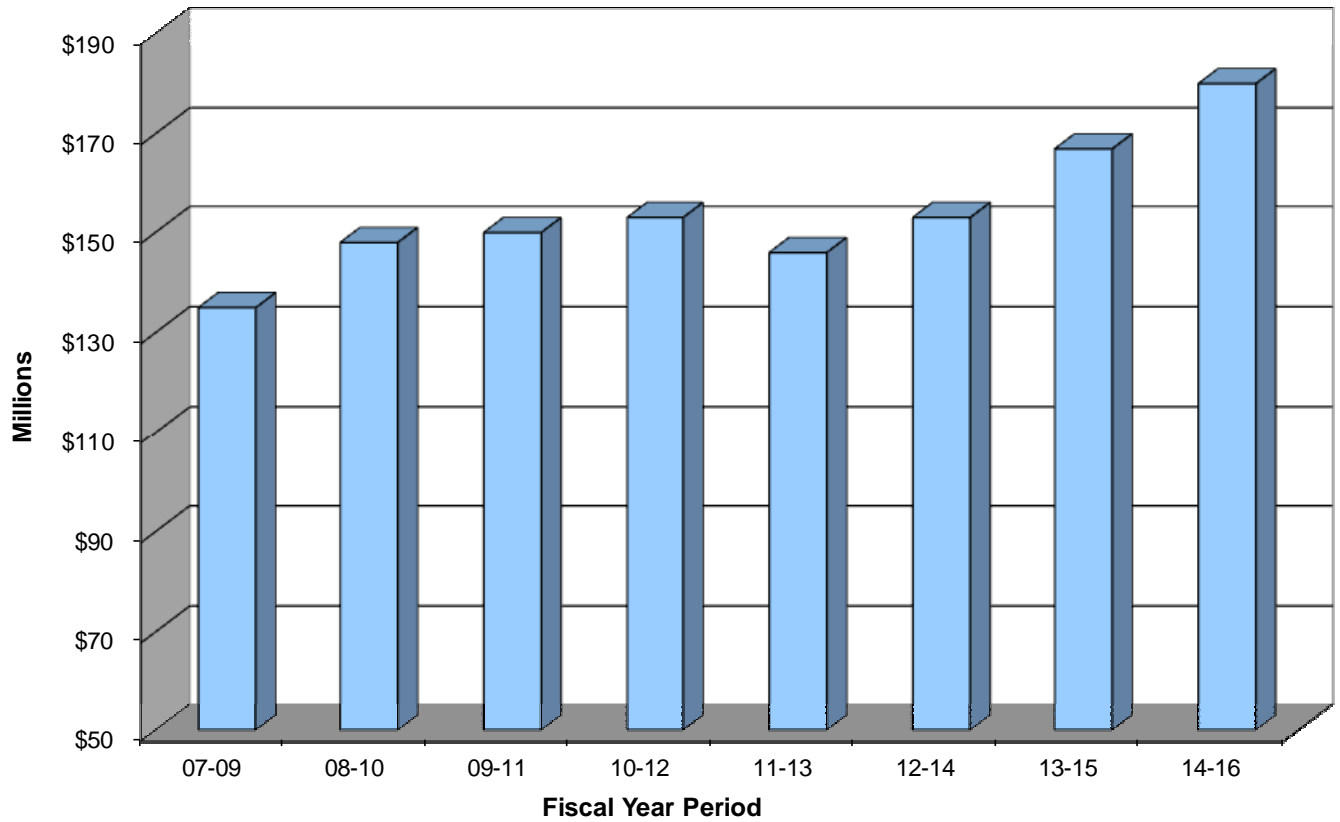
* 2 or more awards in the same project were grouped together, therefore the total number shown is less than the total number of awards received

Figure 4: Distribution of Award Dollars to PIs FY 2016



AWARDS

Figure 5: Award Dollars - Three-Year Rolling Averages FY 2007-2016



AWARDS

Figure 6: Distribution of Award Numbers by Award Type FY 2016
Total Awards - 1,116

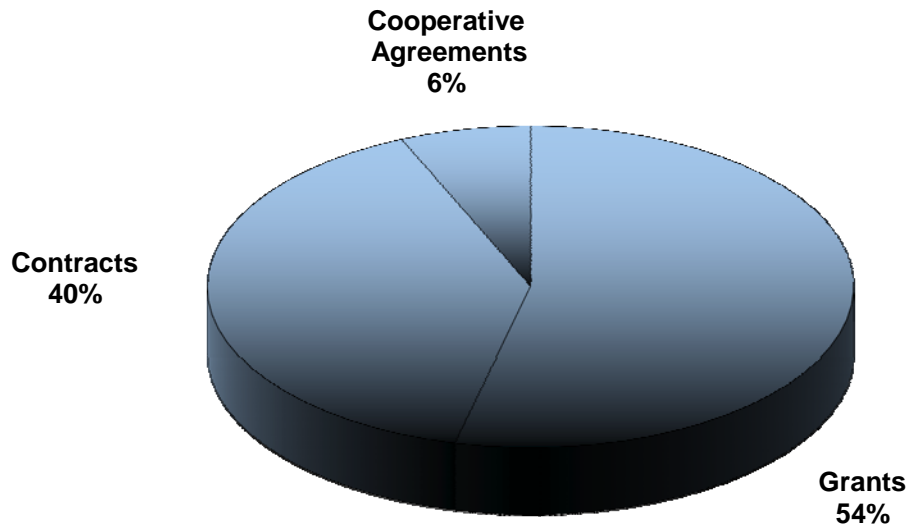
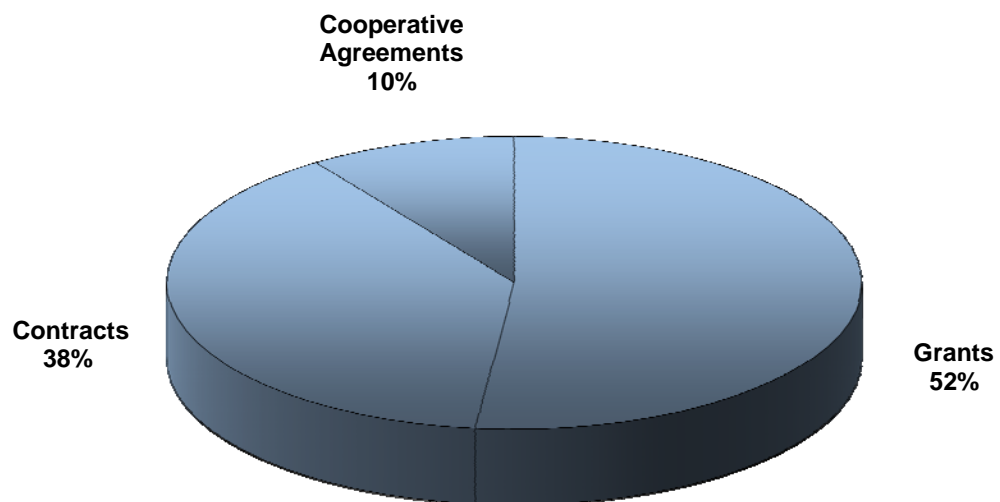


Figure 7: Distribution of Award Dollars by Award Type Total Costs, FY 2016
Total Dollars - \$188,708,291



AWARDS

TEN YEAR SUMMARY

Figure 8: Indirect, Direct & Total Dollar Value of Awards FY 2007 - 2016

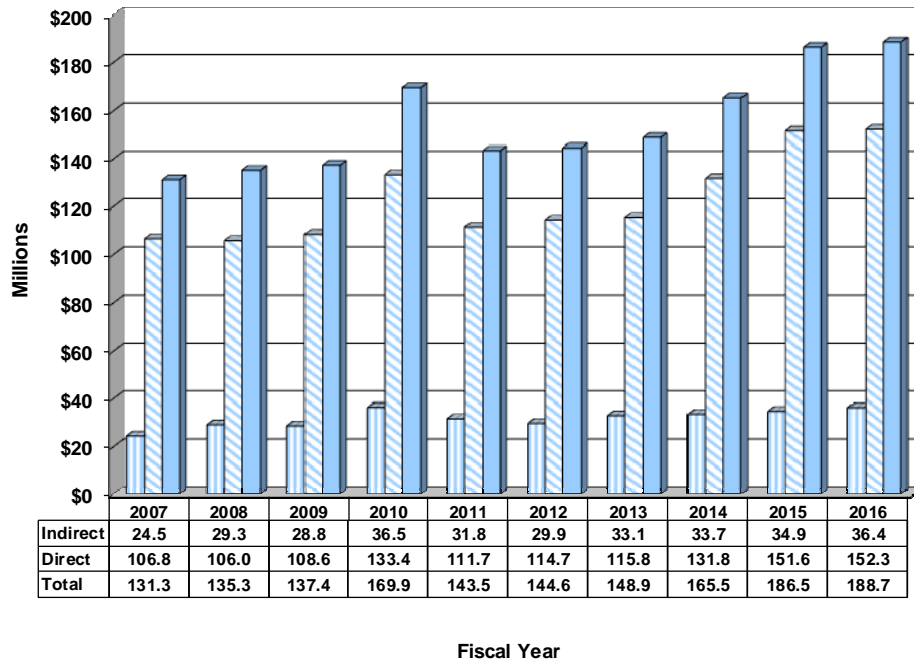
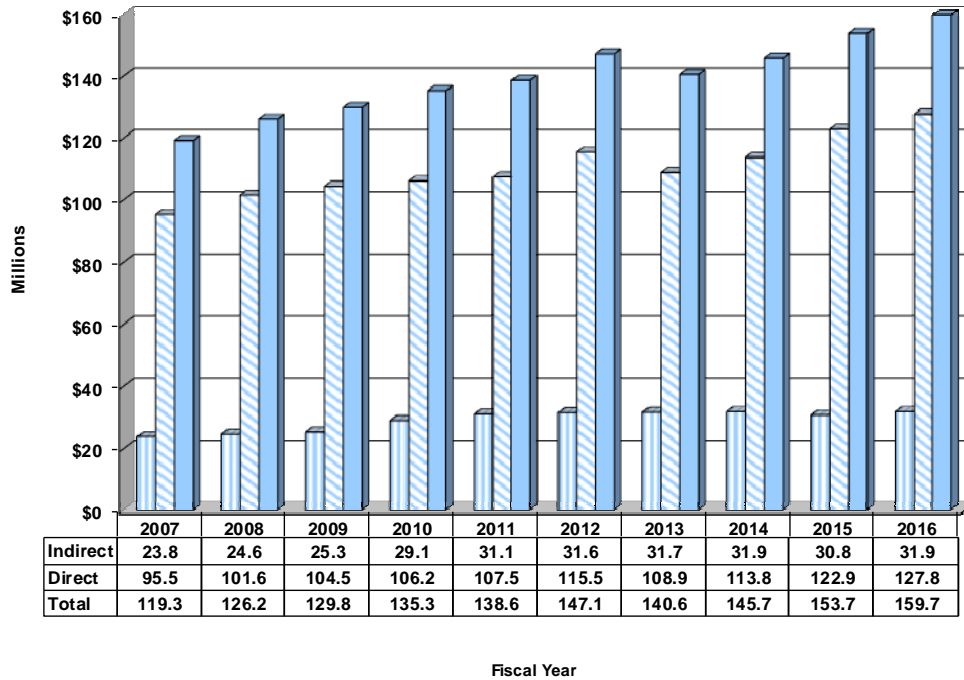


Figure 9: Indirect, Direct & Total Dollar Expenditures FY 2007 - 2016

Data obtained from the Budget Office



AWARDS

Table 6

5 Year Award Trend by Major Budgetary Unit (MBU)

MBU	FY 2012		FY 2013		FY 2014		FY 2015		FY 2016	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Affairs	1	\$499,329	3	\$2,046,614	1	\$986,990	3	\$996,856	2	\$522,239
Academic Support Services	14	\$167,650	12	\$206,294	13	\$69,980	10	\$87,960	5	\$646,138
Admin Support Units	0	\$0	0	\$0	0	\$0	2	\$8,858	0	\$0
Administration and Finance	0	\$0	0	\$0	1	\$106,500	1	\$212,475	0	\$0
Chancellor's Exec Area Admin	0	\$0	1	\$867,040	0	\$0	0	\$0	0	\$0
College of Engineering	151	\$26,505,519	192	\$24,653,848	200	\$28,596,406	208	\$35,337,138	207	\$31,344,140
College of Humanities & Fine Arts	18	\$298,929	25	\$988,941	27	\$727,330	28	\$1,162,611	22	\$352,323
College of Info and Computer Science	0	\$0	0	\$0	0	\$0	0	\$0	123	\$22,723,458
College of Natural Sciences	583	\$90,910,680	579	\$73,804,088	590	\$80,391,031	608	\$86,851,209	536	\$72,586,862
College of Social & Behavioral Sciences	35	\$2,026,560	34	\$2,201,831	50	\$4,265,869	39	\$2,169,482	47	\$2,652,467
Dean of Students	6	\$317,255	10	\$636,180	5	\$166,291	3	\$204,267	2	\$191,490
Environmental Health & safety	0	\$0	3	\$354,250	0	\$0	0	\$0	0	\$0
Facilities Planning	2	\$2,071,284	1	\$387,000	0	\$0	4	\$1,365,218	1	\$74,718
Graduate School	6	\$793,530	5	\$1,239,780	3	\$897,333	7	\$1,623,000	3	\$967,080
Human Resources	1	\$5,200	7	\$756,852	6	\$342,540	6	\$1,121,577	3	\$223,626
Information Technologies	1	\$320,000	2	\$424,904	1	\$386,417	0	\$0	4	\$300,322
Institute Applied Life Science	0	\$0	0	\$0	1	\$19,982,000	1	\$18,100,000	1	\$19,350,000
School of Education	24	\$4,834,426	22	\$13,257,293	22	\$7,151,077	24	\$10,788,155	26	\$6,859,638
School of Management	30	\$4,300,539	29	\$4,222,931	21	\$3,538,306	32	\$4,358,002	21	\$3,699,401
School of Nursing	9	\$298,250	6	\$900,487	6	\$565,646	8	\$2,094,094	7	\$2,326,198
School of Public Health & Health Science	51	\$9,306,397	67	\$16,164,526	60	\$10,352,602	64	\$17,289,018	71	\$14,557,475
Student Affairs	0	\$0	2	\$260,968	12	\$1,344,361	8	\$622,033	9	\$1,110,034
Undergrate Affairs	1	\$1,500	1	\$1,500	1	\$5,000	1	\$249,968	1	\$249,968
University Relations	4	\$430,069	3	\$339,108	3	\$470,324	2	\$505,000	1	\$326,791
University Library	1	\$42,950	1	\$48,368	0	\$0	0	\$0	0	\$0
University Outreach	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
VCRE/VC for Research & Engagement	29	\$1,499,203	38	\$5,116,759	28	\$5,139,697	13	\$1,299,484	24	\$7,643,923
Total	967	\$144,629,270	1,043	\$148,879,562	1,051	\$165,485,700	1,072	\$186,446,405	1,116	\$188,708,291

AWARDS

Table 7

Awards Accepted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Academic Affairs				
Provost's Office	2	466,832	55,407	522,239
MBU Total FY 2016	2	\$466,832	\$55,407	\$522,239
MBU Total FY 2015	3	\$908,859	\$87,997	\$996,856
% Change FY 2015 to FY 2016	-33%	-49%	-37%	-48%
Academic Support Services				
Fine Arts Center	4	11,479	0	11,479
Teaching Development Center	1	409,959	224,700	634,659
MBU Total FY 2016	5	\$421,438	\$224,700	\$646,138
MBU Total FY 2015	10	\$87,960	\$0	\$87,960
% Change FY 2015 to FY 2016	-50%	379%	100%	635%
College of Engineering				
Chemical Engineering	24	1,828,665	579,364	2,408,029
Civil & Environmental Engineering	29	5,334,909	1,430,276	6,765,185
Electrical and Computer Engineering	79	6,387,040	2,323,316	8,710,356
Engineering Research Center	1	85,561	50,908	136,469
Mechanical and Industrial Engineering	59	3,843,812	1,380,048	5,223,860
UMASS Transportation Center	15	6,365,802	1,734,439	8,100,241
MBU Total FY 2016	207	\$23,845,789	\$7,498,351	\$31,344,140
MBU Total FY 2015	208	\$27,120,900	\$8,216,238	\$35,337,138
% Change FY 2015 to FY 2016	0%	-12%	-9%	-11%
College of Humanities & Fine Arts				
Architecture	2	9,380	0	9,380
Art History	1	1,421	0	1,421
Dean-College of Humanities and Fine Art	1	21,940	0	21,940
English	9	125,461	3,647	129,108
History	1	37,500	0	37,500
Judaic and Near Eastern Studies	1	50,400	0	50,400
Language, Literature & Culture	4	54,549	7,268	61,817
Theatre	1	5,860	0	5,860
Women's Studies	2	34,897	0	34,897
MBU Total FY 2016	22	\$341,408	\$10,915	\$352,323
MBU Total FY 2015	28	\$920,333	\$242,278	\$1,162,611
% Change FY 2015 to FY 2016	-21%	-63%	-95%	-70%

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
College of Info and Computer Science				
Computer Science	123	17,164,867	5,558,591	22,723,458
MBU Total FY 2016	123	\$17,164,867	\$5,558,591	\$22,723,458
College of Natural Sciences				
Agricultural Experiment Station	5	3,181,535	0	3,181,535
Astronomy	29	2,433,735	931,432	3,365,167
Biochemistry and Molecular Biology	15	3,014,561	960,453	3,975,014
Biology	20	2,297,607	829,889	3,127,496
Center for Agriculture	1	39,683	10,317	50,000
Chemistry	46	6,461,232	2,466,033	8,927,265
Cranberry Station - Extension	18	462,016	35,512	497,528
CUMIRP/PSE	43	2,037,369	981,012	3,018,381
Environmental Conservation	66	5,912,036	1,015,682	6,927,718
Food Science	40	3,286,455	1,097,702	4,384,157
Geosciences	21	1,621,533	737,528	2,359,061
Mathematics and Statistics	26	1,425,899	733,253	2,159,152
Microbiology	18	1,127,136	440,824	1,567,960
Physics	29	3,703,932	1,413,442	5,117,374
Polymer Science and Engineering	40	6,154,550	1,707,212	7,861,762
Psychology	21	2,353,371	1,181,330	3,534,701
Stockbridge School	55	808,744	101,503	910,247
UMASS Extension	11	4,287,032	64,484	4,351,516
Veterinary and Animal Sciences	29	5,591,519	1,454,495	7,046,014
Water Resources and Research Ctr	3	197,477	27,337	224,814
MBU Total FY 2016	536	\$56,397,422	\$16,189,440	\$72,586,862
MBU Total FY 2015	608	\$67,369,040	\$19,482,169	\$86,851,209
% Change FY 2015 to FY 2016	-12%	-16%	-17%	-16%
College of Social & Behavioral Sciences				
Anthropology	6	876,331	106,611	982,942
Anthropology - Archaeological Services	15	195,995	77,971	273,966
Economics	4	85,471	10,094	95,565
Landscape Arch & Regional Planning	4	205,706	26,979	232,685
Political Science	8	218,825	68,367	287,192
Resource Economics	4	413,905	141,574	555,479
Sociology	6	148,261	76,377	224,638
MBU Total FY 2016	47	\$2,144,494	\$507,973	\$2,652,467
MBU Total FY 2015	39	\$1,664,911	\$504,571	\$2,169,482
% Change FY 2015 to FY 2016	21%	29%	1%	22%

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Dean of Students				
Disability Services	1	85,439	6,784	92,223
University Health Services	1	62,432	36,835	99,267
MBU Total FY 2016	2	\$147,871	\$43,619	\$191,490
MBU Total FY 2015	3	\$159,312	\$44,955	\$204,267
% Change FY 2015 to FY 2016	-33%	-7%	-3%	-6%
Facilities & Campus Services				
Executive Office	1	74,718	0	74,718
MBU Total FY 2016	1	\$74,718	\$0	\$74,718
MBU Total FY 2015	4	\$1,365,218	\$0	\$1,365,218
% Change FY 2015 to FY 2016	-75%	-95%	0%	-95%
Graduate School				
Graduate Dean's Office	3	967,080	0	967,080
MBU Total FY 2016	3	\$967,080	\$0	\$967,080
MBU Total FY 2015	7	\$1,618,971	\$4,029	\$1,623,000
% Change FY 2015 to FY 2016	-57%	-40%	-100%	-40%
Human Resources				
Human Resources	3	186,601	37,025	223,626
MBU Total FY 2016	3	\$186,601	\$37,025	\$223,626
MBU Total FY 2015	6	\$942,909	\$178,668	\$1,121,577
% Change FY 2015 to FY 2016	-50%	-80%	-79%	-80%
Information Technologies				
CIO	4	223,131	77,191	300,322
MBU Total FY 2016	4	\$223,131	\$77,191	\$300,322

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Institute Applied Life Science				
Institute Applied Life Science	1	19,350,000	0	19,350,000
MBU Total FY 2016	1	\$19,350,000	\$0	\$19,350,000
MBU Total FY 2015	1	\$18,100,000	\$0	\$18,100,000
% Change FY 2015 to FY 2016	0%	7%	0%	7%
School of Education				
Educational Policy Research & Admin	18	5,396,491	1,032,393	6,428,884
Student Dev & Pupil Personnel Services	5	337,663	22,183	359,846
Teacher Ed & Curriculum Studies	3	70,665	243	70,908
MBU Total FY 2016	26	\$5,804,819	\$1,054,819	\$6,859,638
MBU Total FY 2015	24	\$8,950,091	\$1,838,064	\$10,788,155
% Change FY 2015 to FY 2016	8%	-35%	-43%	-36%
School of Management				
MA Small Business Dev Ctr	21	3,690,737	8,664	3,699,401
MBU Total FY 2016	21	\$3,690,737	\$8,664	\$3,699,401
MBU Total FY 2015	32	\$4,258,285	\$99,717	\$4,358,002
% Change FY 2015 to FY 2016	-34%	-13%	-91%	-15%
School of Nursing				
Nursing	7	2,284,216	41,982	2,326,198
MBU Total FY 2016	7	\$2,284,216	\$41,982	\$2,326,198
MBU Total FY 2015	8	\$1,991,479	\$102,615	\$2,094,094
% Change FY 2015 to FY 2016	-13%	15%	-59%	11%
School of Public Health & Health Sciences				
Biostatistics and Epidemiology	24	4,692,985	1,221,063	5,914,048
Communications Disorders	4	860,675	343,771	1,204,446
Environmental Health Sciences	11	799,315	237,751	1,037,066
Health Promotion and Policy	13	815,063	294,405	1,109,468
Kinesiology	13	1,174,688	517,460	1,692,148
Nutrition	6	2,891,776	708,523	3,600,299
MBU Total FY 2016	71	\$11,234,502	\$3,322,973	\$14,557,475
MBU Total FY 2015	64	\$13,723,664	\$3,565,354	\$17,289,018
% Change FY 2015 to FY 2016	11%	-18%	-7%	-16%

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2016

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Student Affairs and Campus Life				
Auxiliary Services, Office of Director	1	454,546	45,454	500,000
Center for Women and Community	6	595,534	0	595,534
Family Resources	2	14,320	180	14,500
MBU Total FY 2016	9	\$1,064,400	\$45,634	\$1,110,034
MBU Total FY 2015	8	\$622,033	\$0	\$622,033
% Change FY 2015 to FY 2016	13%	71%	100%	78%
Undergraduate Affairs				
Advising	1	239,968	10,000	249,968
MBU Total FY 2016	1	\$239,968	\$10,000	\$249,968
MBU Total FY 2015	1	\$239,968	\$10,000	\$249,968
% Change FY 2015 to FY 2016	0%	0%	0%	0%
University Relations				
WFCR	1	326,791	0	326,791
MBU Total FY 2016	1	\$326,791	\$0	\$326,791
MBU Total FY 2015	2	\$505,000	\$0	\$505,000
% Change FY 2015 to FY 2016	-50%	-35%	0%	-35%
VC for Research & Engagement				
Baystate/UM PVLSI	1	487,757	191,476	679,233
Mass Nanotech	7	4,405,068	1,467,734	5,872,802
University Press	14	73,211	0	73,211
VC for Research & Engagement	2	1,011,710	6,967	1,018,677
MBU Total FY 2016	24	\$5,977,746	\$1,666,177	\$7,643,923
MBU Total FY 2015	13	\$870,834	\$428,650	\$1,299,484
% Change FY 2015 to FY 2016	85%	586%	289%	488%
Cumulative Total FY 16	1,116	\$152,354,830	\$36,353,461	\$188,708,291
Cumulative Total FY 15	1,072	\$151,641,100	\$34,805,305	\$186,446,405
Cumulative Total FY 14	1,053	\$131,881,173	\$33,668,037	\$165,549,210
% Change FY 2015 to FY 2016	4%	0%	4%	1%
% Change FY 2014 to FY 2015	2%	15%	3%	13%

AWARDS

Table 8

5 Year Award Trend by Sponsor Category

Sponsor Category	FY2012		FY2013		FY2014		FY2015		FY2016	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	372	\$102,298,074	413	\$102,443,337	395	\$99,225,856	414	\$100,389,003	424	\$107,053,615
Commonwealth of MA	55	\$12,454,611	73	\$14,005,634	56	\$29,182,471	72	\$47,291,091	64	\$43,126,736
Other States & Local Gov'ts	13	\$1,167,684	22	\$1,336,581	12	\$510,998	16	\$1,163,283	10	\$616,403
Non-Profit	295	\$14,363,891	314	\$18,724,535	328	\$23,754,490	297	\$24,358,031	348	\$25,165,387
Industry	232	\$14,345,010	221	\$12,369,672	260	\$12,811,885	273	\$13,244,997	270	\$12,746,150
Total	967	\$144,629,270	1,043	\$148,879,759	1,051	\$165,485,700	1,072	\$186,446,405	1,116	\$188,708,291

AWARDS

Table 9

Awards Accepted by Sponsor FY 2016

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Agriculture				
Agricultural Research Service (USDA - ARS)	4	271,215	699	271,914
Animal and Plant Health Inspec Serv (APHIS)	2	196,087	19,608	215,695
Forest Service (USFS)	12	1,128,632	0	1,128,632
Nat'l Institute of Food and Agriculture (NIFA)	19	10,122,380	938,762	11,061,142
Northern Research Station (USFS)	1	35,000	0	35,000
US Dept of Agriculture (USDA)	1	217,256	21,726	238,982
Agency Total FY 2016	39	\$11,970,570	\$980,795	\$12,951,365
Agency Total FY 2015	43	\$14,994,055	\$679,143	\$15,673,198
% Change FY 2015 to FY 2016	-9%	-20%	44%	-17%
US Dept of Commerce				
National Institute of Standards and Tech	3	174,550	83,711	258,261
Nat'l Oceanic and Atmospheric Admin (NOAA)	4	101,146	43,381	144,527
Agency Total FY 2016	7	\$275,696	\$127,092	\$402,788
Agency Total FY 2015	4	\$354,225	\$69,148	\$423,373
% Change FY 2015 to FY 2016	75%	-22%	84%	-5%
US Dept of Defense				
Air Force Office of Scientific Research (AFOSR)	3	294,430	173,714	468,144
Air Force Research Laboratory	7	575,147	325,842	900,989
Army Corps of Engineers	6	929,448	195,493	1,124,941
Army Research Lab (ARL)	1	52,875	25,525	78,400
Army Research Office (ARO)	8	1,692,912	461,055	2,153,967
Asian Off Aerospace RD (AOARD-AFOSR)	2	118,643	51,357	170,000
Defense Advanced Research Proj Agency (DARPA)	3	764,133	120,174	884,307
Defense Logistics Agency	1	308,274	0	308,274
Defense Threat Reduction Agency	1	223,123	70,098	293,221
Naval Research Laboratory	4	117,026	62,974	180,000
Office of Naval Research (ONR)	18	1,877,565	487,011	2,364,576
Spawarsyscen-SD	3	683,255	142,729	825,984
Agency Total FY 2016	57	\$7,636,831	\$2,115,972	\$9,752,803
Agency Total FY 2015	54	\$6,089,560	\$2,305,913	\$8,395,473
% Change FY 2015 to FY 2016	6%	25%	-8%	16%

AWARDS

Table 9 (cont'd)

Awards Accepted by Sponsor FY 2016

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Education				
US Dept of Education (DOED)	5	1,145,161	20,780	1,165,941
Agency Total FY 2016	5	\$1,145,161	\$20,780	\$1,165,941
Agency Total FY 2015	5	\$1,161,435	\$35,297	\$1,196,732
% Change FY 2015 to FY 2016	0%	-1%	-41%	-3%
US Dept of Energy				
US Dept of Energy (DOE)	18	2,552,629	1,122,342	3,674,971
Agency Total FY 2016	18	\$2,552,629	\$1,122,342	\$3,674,971
Agency Total FY 2015	13	\$1,908,935	\$880,985	\$2,789,920
% Change FY 2015 to FY 2016	38%	34%	27%	32%
US Dept of Health and Human Services				
Health Resources and Services Admin (HRSA)	5	2,244,315	41,982	2,286,297
National Institutes of Health (NIH)	81	17,449,860	6,717,855	24,167,715
Agency Total FY 2016	86	\$19,694,175	\$6,759,837	\$26,454,012
Agency Total FY 2015	81	\$17,373,211	\$6,192,540	\$23,565,751
% Change FY 2015 to FY 2016	6%	13%	9%	12%
US Dept of Interior				
Geological Survey (USGS)	15	1,946,385	424,121	2,370,506
National Park Service	2	141,721	23,206	164,927
National Park Service-No. Atlantic Reg.	3	152,736	25,461	178,197
US Fish and Wildlife Service (FWS)	6	536,860	84,426	621,286
Agency Total FY 2016	26	\$2,777,702	\$557,214	\$3,334,916
Agency Total FY 2015	23	\$3,242,871	\$716,793	\$3,959,664
% Change FY 2015 to FY 2016	13%	-14%	-22%	-16%
US Dept of Justice				
Federal Bureau of Investigation (FBI)	1	250,783	149,217	400,000
Agency Total FY 2016	1	\$250,783	\$149,217	\$400,000
Agency Total FY 2015	2	\$568,890	\$331,110	\$900,000
% Change FY 2015 to FY 2016	-50%	-56%	-55%	-56%

AWARDS

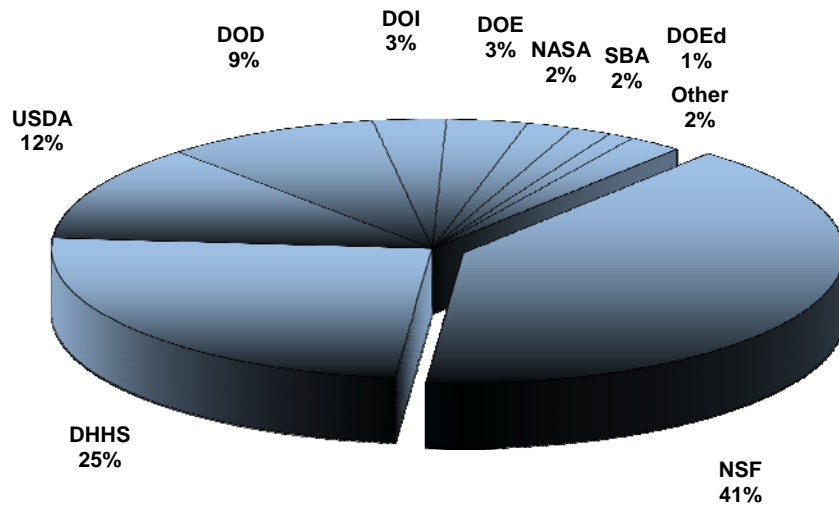
Table 9 (cont'd)

Awards Accepted by Sponsor FY 2016

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Transportation				
Federal Aviation Administration (FAA)	1	96,526	53,412	149,938
Federal Highway Administration (FHA)	1	5,000	0	5,000
Federal Motor Carrier Safety Admin	1	228,872	136,176	365,048
Agency Total FY 2016	3	\$330,398	\$189,588	\$519,986
Agency Total FY 2015	2	\$128,160	\$69,119	\$197,279
% Change FY 2015 to FY 2016	50%	158%	174%	164%
Independent Establishments & Govt Corps				
Environmental Protection Agency (EPA)	2	148,787	35,430	184,217
National Aero and Space Administration (NASA)	19	1,213,080	584,075	1,797,155
National Endowment for the Humanities (NEH)	2	66,908	4,953	71,861
Small Business Administration (SBA)	2	2,164,072	0	2,164,072
Vietnam Education Foundation	1	112,580	0	112,580
Agency Total FY 2016	26	\$3,705,427	\$624,458	\$4,329,885
Agency Total FY 2015	28	\$7,760,285	\$1,655,324	\$9,415,609
% Change FY 2015 to FY 2016	-7%	-52%	-62%	-54%
National Science Foundation				
National Science Foundation (NSF)	150	31,206,063	12,099,259	43,305,322
Agency Total FY 2016	150	\$31,206,063	\$12,099,259	\$43,305,322
Agency Total FY 2015	152	\$24,840,772	\$8,622,594	\$33,463,366
% Change FY 2015 to FY 2016	-1%	26%	40%	29%
Other/Quasi Government Agencies				
Department of Veterans Affairs (VA)	2	96,686	57,528	154,214
National Research Council (NRC)	1	2,000	0	2,000
Smithsonian Astrophysical Observatory	3	473,750	131,662	605,412
Agency Total FY 2016	6	\$572,436	\$189,190	\$761,626
Agency Total FY 2015	7	\$316,988	\$91,650	\$408,638
% Change FY 2015 to FY 2016	-14%	81%	106%	86%
Federal Total FY 2016	424	\$82,117,871	\$24,935,744	\$107,053,615
Federal Total FY 2015	414	\$78,739,387	\$21,649,616	\$100,389,003
Federal Total FY 2014	395	\$75,209,896	\$24,015,960	\$99,225,856
% Change FY 2015 to FY 2016	2%	4%	15%	7%
% Change FY 2014 to FY 2015	5%	5%	-10%	1%

AWARDS

**Figure 10: Distribution of Award Dollars Accepted from Federal Agencies
FY 2016
Total Costs - \$107,053,615**



AWARDS

Table 10

Awards Accepted by Commonwealth of MA FY 2016

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Commonwealth of Massachusetts				
MA Clean Energy Center	2	58,546	13,954	72,500
MA Cultural Council	3	12,400	0	12,400
MA Department of Energy Resources	1	66,706	17,344	84,050
MA Dept of Agricultural Resources	7	256,394	54,833	311,227
MA Dept of Conservation and Recreation	2	46,107	4,189	50,296
MA Dept of Elementary & Secondary Ed	2	1,359,004	321,946	1,680,950
MA Dept of Environmental Protection	5	1,717,975	283,400	2,001,375
MA Dept of Fish and Game	1	161,500	0	161,500
MA Dept of Public Health (DPH)	7	579,340	14,307	593,647
MA Dept of Revenue	1	8,553	2,224	10,777
MA Dept of State Police	3	147,905	38,454	186,359
MA Dept of Transitional Assistance	1	2,821,853	702,063	3,523,916
MA Dept of Transportation	7	5,842,840	1,363,447	7,206,287
MA Div of Ecological Restoration (DER)	1	56,340	14,648	70,988
MA Division of Energy Resources	1	74,718	0	74,718
MA Division of Fisheries and Wildlife (DFW)	3	203,968	1,032	205,000
MA Division of Marine Fisheries	1	50,000	0	50,000
MA Exec Off of Health & Human Services	1	9,377	0	9,377
MA Exec Off of Housing and Economic Dev	2	2,322,000	0	2,322,000
MA Exec Off of Public Safety & Security	3	138,155	35,934	174,089
MA Gaming Commission	2	1,444,883	100,763	1,545,646
MA Life Sciences Center	1	19,350,000	0	19,350,000
MA Office for Victim Assistance	1	65,844	0	65,844
MA Office of Business Development	2	1,177,558	8,664	1,186,222
MA Technology Collaborative	1	2,000,000	0	2,000,000
MA Technology Transfer Center	2	80,000	0	80,000
MA Water Resources Authority	1	79,394	18,174	97,568
Commonwealth of MA - Total FY 2016	64	\$40,131,360	\$2,995,376	\$43,126,736
Commonwealth of MA - Total FY 2015	72	\$42,499,410	\$4,791,681	\$47,291,091
Commonwealth of MA - Total FY 2014	56	\$27,965,937	\$1,216,534	\$29,182,471
% Change FY 2015 to FY 2016	-11%	-6%	-37%	-9%
% Change FY 2014 to FY 2015	29%	52%	294%	62%

AWARDS

Table 11

Awards Accepted by Other States & Local Govts FY 2016

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Other States and Local Governments				
City of El Paso, TX	1	21,940	0	21,940
City of Philadelphia	1	66,238	33,762	100,000
CT Agricultural Experiment Station	2	8,327	2,673	11,000
Holyoke City of	1	35,887	7,805	43,692
Maine State of	1	220,907	49,649	270,556
Russell Town of	1	52,728	5,272	58,000
Springfield City of	1	7,273	727	8,000
Upper Blackstone WPAD	1	81,917	21,298	103,215
VT Agency of Transportation	1	0	0	0
Other States & Local Gov - Total FY 2016	10	\$495,217	\$121,186	\$616,403
Other States & Local Gov - Total FY 2015	16	\$969,980	\$193,303	\$1,163,283
Other States & Local Gov - Total FY 2014	12	\$428,654	\$82,344	\$510,998
% Change FY 2015 to FY 2016	-38%	-49%	-37%	-47%
% Change FY 2014 to FY 2015	33%	126%	135%	128%

AWARDS

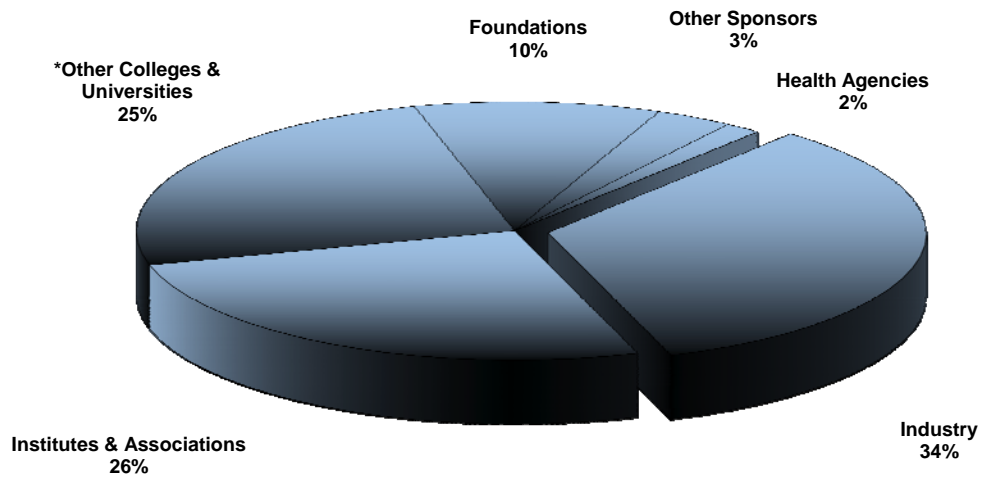
Table 12

Awards Accepted by Private Sector FY 2016

<u>Agency</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Private Sector				
Non - Profit				
Foundations	54	3,734,365	252,694	3,987,059
Health Agencies	6	392,553	194,235	586,788
Institutes and Associations	108	8,279,891	1,568,980	9,848,871
Other Colleges and Universities	156	6,837,426	2,647,199	9,484,625
Other Sponsors	24	1,015,015	243,029	1,258,044
Total -- Non - Profit FY 2016	348	\$20,259,250	\$4,906,137	\$25,165,387
Total -- Non - Profit FY 2015	297	19,874,193	4,483,838	24,358,031
Total -- Non - Profit FY 2014	327	18,902,060	4,851,680	23,753,740
% Change FY 2015 to FY 2016	17%	2%	9%	3%
% Change FY 2014 to FY 2015	-9%	5%	-8%	3%
Total Industry FY 2016	270	\$9,351,132	\$3,395,018	\$12,746,150
Total Industry FY 2015	273	9,558,130	3,686,867	13,244,997
Total Industry FY 2014	260	9,323,025	3,488,860	12,811,885
% Change FY 2015 to FY 2016	-1%	-2%	-8%	-4%
% Change FY 2014 to FY 2015	5%	3%	6%	3%
Private Sector CumTotal FY 2016	618	\$29,610,382	\$8,301,155	\$37,911,537
Private Sector CumTotal FY 2015	570	\$29,432,323	\$8,170,705	\$37,603,028
Private Sector CumTotal FY 2014	587	\$28,225,085	\$8,340,540	\$36,565,625
% Change FY 2015 to FY 2016	8%	1%	2%	1%
% Change FY 2014 to FY 2015	-3%	4%	-2%	3%
Cumulative Total FY 16	1,116	\$152,354,830	\$36,353,461	\$188,708,291
Cumulative Total FY 15	1,072	\$151,641,100	\$34,805,305	\$186,446,405
Cumulative Total FY 14	1,053	\$131,881,173	\$33,668,037	\$165,549,210
% Change FY 2015 to FY 2016	4%	0%	4%	1%
% Change FY 2014 to FY 2015	2%	15%	3%	13%

AWARDS

Figure 11: Distribution of Award Dollars Accepted from the Private Sector FY 2016
Total Costs - \$37,911,537



* A Significant portion of these awards are prime Federal Funds

AWARDS

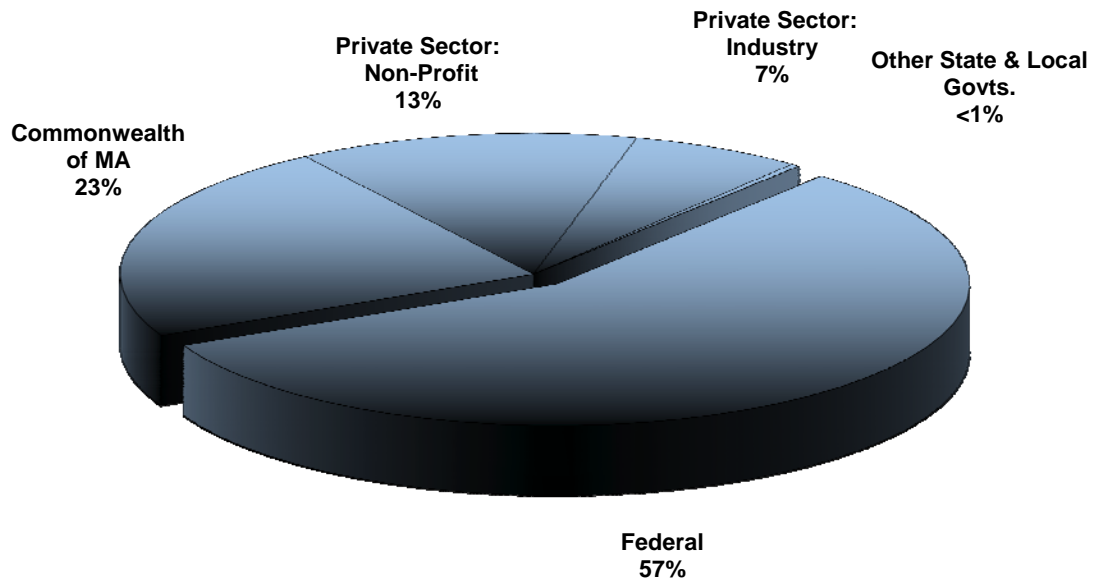
Table 13

Summary of Awards Accepted by Sponsor Category FY 2016

Sponsor	Awards	Direct	Indirect	Total
Federal	424	\$82,117,871	\$24,935,744	\$107,053,615
Commonwealth of Massachusetts	64	\$40,131,360	\$2,995,376	\$43,126,736
Other States & Local Governments	10	\$495,217	\$121,186	\$616,403
Private Sector -- Industry	270	\$9,351,132	\$3,395,018	\$12,746,150
Private Sector -- Non-Profit	348	\$20,259,250	\$4,906,137	\$25,165,387
Total Fiscal Year 2016	1,116	\$152,354,830	\$36,353,461	\$188,708,291

AWARDS

Figure 12: Distribution of Awarded Dollars by Sponsor Category FY 2016
\$188,708,291



AWARDS

Table 14

Summary of Project Characteristics & Award Types by Sponsor Category FY 2016

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Federal	Research	Grant	323	\$73,966,506
	Instruction	Grant	4	\$4,002,989
	Other	Grant	15	\$9,869,502
	Research	Co-Op	56	\$11,688,411
	Instruction	Co-Op	0	\$0
	Other	Co-Op	5	\$2,333,964
	Research	Contract	18	\$4,165,269
	Instruction	Contract	0	\$0
	Other	Contract	3	\$1,026,974
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
Commonwealth of MA	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	43	\$21,411,575
	Instruction	Contract	3	\$206,064
	Other	Contract	18	\$21,509,097
	Research	Grant	2	\$106,215
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
Other States & Local Gov't	Research	Contract	6	\$430,248
	Instruction	Contract	2	\$79,940
	Other	Contract	0	\$0
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0

AWARDS

Table 14 (cont'd)

Summary of Project Characteristics & Award Types by Sponsor Category FY 2016

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Non-Profit Private	Research	Grant	113	\$5,848,275
	Instruction	Grant	1	\$26,802
	Other	Grant	21	\$1,101,865
	Research	Co-Op	8	\$692,973
	Instruction	Co-Op	0	\$0
	Other	Co-Op	1	\$3,413,967
	Research	Contract	192	\$12,722,522
	Instruction	Contract	4	\$101,427
	Other	Contract	8	\$1,257,556
Industry	Research	Grant	97	\$2,706,492
	Instruction	Grant	0	\$0
	Other	Grant	24	\$108,333
	Research	Co-Op	3	\$128,672
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	137	\$9,670,626
	Instruction	Contract	1	\$77,527
	Other	Contract	8	\$54,500
Total FY 2016			1,116	\$188,708,291

NOTES

1. Reporting Costs, Awarded vs. Recovered

There is often a significant difference between the funds reported in the OGCA Report of Sponsored Activities (RSA) as awarded during the fiscal year to the Amherst Campus, and the University's financial accounting system, of funds expended and indirect costs earned during the same fiscal year. This discrepancy can be especially problematic in projecting indirect cost.

To Clarify:

A. The OGCA Report of Sponsored Activities lists the amount of firm commitments awarded by outside sponsors to the University during the period of the fiscal year being reported. This does not necessarily coincide with the effective dates for incurring expenditures and recovering indirect costs. Figures 8 and 9 illustrate the differences between \$ awarded and \$ expended over a ten year period.

B. If a multiple year award is issued, the firm commitment of funds is reported in the RSA. For example, if a three year award is issued with either incremental funding or firm commitment for the first year only, we report only the amount of the increment or the first year (generally the effective dates will reflect only the first period). The remainder of the funds and effective dates are reported when the sponsor authorizes or releases the additional funds. If the Sponsor authorizes the full amount with no contingencies for a multiple year period, then the total amount for the full project period is reported in the same year it was awarded.

C. The University Financial System reports expenditures and indirect cost recovery during the period that the awards are active. Indirect costs are charged and recovered monthly, based on the current month's actual expenditures of each account/award.

As a result of the two reporting functions, awarded vs. earned indirect costs in any given period cannot be reconciled exactly. However, the data from both systems are valuable in the University's analyses and projections.

2. Award Type Definitions:

GRANT: An award instrument issued to the University in support of a particular activity, but usually not requiring a "product" other than technical progress reports. A grant contains terms and conditions associated with the awarding of funds and is therefore termed "restricted". (A few sponsors award "unrestricted" grants).

CONTRACT: A bilateral award agreement which specifies work to be performed, deliverables, and specific requirements. Also, any bilateral document specifying terms and conditions agreed to by both parties.

COOPERATIVE AGREEMENT: A type of contract which outlines involvement of both parties to the agreement.

3. Proposal Reports only Contain New proposal data.

Please note we are now only reporting New proposals in our reports, and thus include Project totals, not just the first year. This means that any proposal that is part of an ongoing project will not be added into the number of applications nor the dollar totals.